

**Abstracts of Grants Active in  
FY 1997**

***VOLUME TWO***

***Behavioral and Social Research Program***

**National Institute on Aging**  
*National Institutes of Health*

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## Abstracts of Grants Active in FY 1997

### *Behavioral and Social Research Program*

National Institute on Aging  
National Institutes of Health

May 15, 1998

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## **Current Staff**

### **Project Officers**

Ronald P. Abeles (OAD) - Associate Director

Jared Jobe (CFA)

Marcia Ory (PGR, HCO)

Sidney Stahl (OPS)

Richard Suzman (DEM, HRE, EPI)

Georgeanne E. Patmios (DEM, HRE, EPI)

### **Program Analyst**

Angie J. Chon-Lee

### **Grants Technical Staff**

Michelle Blanco (HCO, OPS, PGR)

Angela Lingham (CFA, PSP)

Donna Perry (DEM, EPI, HRE)

### **Lead Secretary**

Lesa McQueen

## **Behavioral and Social Research**

### ***National Institute on Aging***

The Behavioral and Social Research (BSR) Program of the National Institute on Aging (NIA) supports basic social and behavioral research and research training on aging processes and the place of older people in society. It focuses on how people change with aging, on the interrelationships between older people and social institutions (e.g., the family, health-care systems), and on the societal impact of the changing age composition of the population. Emphasis is placed upon the dynamic interplay between the aging of individuals and their changing social and physical environments.

BSR's basic goal in supporting research and training and in developing research resources (data sets) and methodologies is to produce a scientific knowledge base for maximizing people's health and functioning in their middle and later years and to increase active life expectancy. This knowledge base is required for informed and effective public policy, professional practice, and everyday life.

The program is guided by three basic assumptions:

1. The processes of aging are neither fixed nor immutable. They are the products of a complex interplay among social, behavioral, and biological factors.
2. Aging processes are influenced by and influence changing cultural, socioeconomic, and population structures, which vary over historical time.
3. Aging processes occur over the entire life course.

These assumptions imply that aging processes are subject to intentional modification and that the developing knowledge base can be used to guide interventions and to evaluate their intended and unintended consequences.

BSR is administratively organized into four units: The Office of the Associate Director, Adult Psychological Development, Demography and Population Epidemiology, and Social Science Research on Aging. In addition, two freestanding and crosscutting units provide leadership within BSR and across NIA in the areas of demographic research and social and behavioral research on Alzheimer's disease. BSR serves also as the administrative locus for the Congressionally mandated Task Force on Aging Research. Brief descriptions of BSR's components and example of research topics are set forth on the following pages.

## **Office of the Associate Director**

301-594-5943

Ronald P. Abeles, Associate Director

Lesa McQueen, Lead Secretary

Angie J. Chon-Lee, Program Analyst

The Office of the Associate Director provides overall scientific and administrative guidance and coordination for BSR's research and research training activities. Attached to the office are the three special administrative units with trans-BSR, trans-NIA, or trans-DHHS responsibilities.

The Coordinating Unit for Burdens of Care for Alzheimer's Disease (under the leadership of Marcia Ory) provides a center within BSR for research on Alzheimer's disease. In 1989, this free-standing unit was established in the Office of the Associate Director, BSR, to coordinate all research activities on the behavioral and social aspects of Alzheimer's disease such as studies of the burdens of family care, interventions to enhance everyday functioning and reduce family caregiving burdens, and the effects and the costs of different long-term care arrangements.

This administrative unit provides an identifiable point of contact for interaction with others within NIA and in the outside community for research on social and behavioral aspects of dementia in later life. Its mission is to summarize research findings and to develop and implement a research agenda on social and behavioral aspects of Alzheimer's disease. Emphasis is on caregivers' perceptions of and responses to Alzheimer's disease, the nature of caregiving, linkages between formal and informal care, interventions to reduce the burdens of care, ethnic differences in caregiving, and the costs of Alzheimer's disease for families and society.

The Office of Demography of Aging (ODA) (Richard Suzman, Director; Georgeanne Patmios, Program Analyst; Angie Chon-Lee, Program Analyst; Donna Perry, Program Assistant) was established late in FY 1991 in order to coordinate and implement a variety of demographic and related initiatives. NIA founded the Office in response to five needs:

- For a coordinated, consistent, dynamic, accurate source of aging-related demographic statistics and projections.
- For broad resources to stimulate and guide the development of aging-related demographic data and methods within NIA and other agencies.
- To be responsive to Congressional support: "The [House Committee on Appropriations, FY 1991] recognizes that many health problems facing our nation have important demographic, social and behavioral dimensions that merit systematic study and reiterates its support for the demographic research programs of the NICHD and NIA as core elements of the NIH's institutional mandate."
- For information and research on the cost of illness, which was and is currently handled on an ad hoc basis by the NIA Office of Planning, Analysis and International Activities (OPAIA), the NIA Director, and program staff. This need extends beyond the boundaries of demography of aging-- including also epidemiology, health services, and some aspects of economics.
- For NIA to reinforce its visibility as a national and international leader in the demography of aging.

In addition to providing NIA staff support and overall guidance to the Federal Interagency Forum on Aging--Related Statistics, the functions of the Office are:

- To facilitate communication and coordination in the development and use of data bases, identification of research opportunities, and in long-range research planning;
- To provide information for answering internal and external requests for demographic facts, developing cost-of-illness analyses, and for disseminating demographic reports; and
- To produce information via the synthesis, evaluation, and analysis of demographic information and the evaluation of selected public policies.

## **Adult Psychological Development**

301-496-3137

Jared Jobe, Chief

Angela Lingham, Grants Technical Assistant

Adult Psychological Development supports research concerned with environmental, social, and behavioral influences on cognitive functioning, personality, attitudes, and interpersonal relations over the life course.

The Cognitive Functioning and Aging research focuses attention on how external environmental factors (e.g., structure of the task) and internal psychological processes (e.g., motivation, emotional state) influence differences among people and affect a person's functioning over the life course. Representative topics include:

- behavior genetics;
- human factors;
- individual differences;
- cognition and health;
- interventions;
- memory strategies;
- perceptual skills;
- problem solving and decision making; and,
- reading, speech, and hearing comprehension.

Research on neuropsychological and pathological aspects of cognition, such as dementia's, is supported by NIA's Neuroscience and Neuropsychology of Aging Program.

Personality and Social Psychological Aging research emphasizes the dynamic interplay among psychological processes and personal relationships in the immediate social environment as people age. Representative topics include:

- attitudes, beliefs, and attributional processes;
- gender, race, social economic status, and personality;
- individual differences;
- interpersonal relationships;
- life course transitions;
- life satisfaction;
- motivation and emotion;
- perceived self-efficacy;
- personality changes over the life course;
- productive behaviors;
- self-concept;
- social cognition;
- social networks and supports; and
- stress and coping behaviors.



## **Demography and Population Epidemiology**

301-496-3138

Richard Suzman, Chief

Georgianne Patmios, Program Analyst

Donna Perry, Program Assistant

Simon Law, Clerk-Typist (Stay-in-School)

Demography and Population Epidemiology supports research and training on the changing older population in regard to its social, demographic, economic, and health characteristics and on the impact of these population characteristics on society as a whole. National and international comparative research is encouraged.

The Population Epidemiology focuses on health and mortality issues at older ages.

Representative topics include:

- prevalence, incidence, and age trajectories of health;
- forecasting of functioning, health and mortality;
- race, ethnic, and socioeconomic differentials in mortality; and
- the epidemiological transition in developing countries.

Representative topics in Demography of Aging include:

- medical and biodemography;
- life and active life expectancy;
- socioeconomic differentials in mortality;
- immigration and migration;
- changes in age-structure of populations; and
- modeling and forecasting of age-related processes.

The Health and Retirement Economics concentrates on economic factors associated with the well being of older people. Representative topics include:

- economic costs of disability (e.g., costs of Alzheimer's disease and related dementia) and cost-effectiveness of interventions;
- labor force participation rates and antecedents and consequences of retirement;
- income distributions, savings, consumption, housing costs;
- intergenerational transfers, long-term-care-related spend downs; and
- international comparisons of disability and pension policies.

## **Social Science Research on Aging**

301-402-4156

Marcia Ory, Chief

Sidney Stahl, Health Scientist Administrator

Michelle Blanco, Grants Technical Assistant

Anthony Cheung, Clerk-Typist (Stay-in-School)

Social Science Research (SSR) on Aging supports research and research training aimed at understanding the biopsychosocial processes linking health and behavior; the structure, process, and outcomes of health care and related services; and the social conditions influencing health, well-being, and functioning of people in the middle and later years. SSR's specific program areas are defined below.

The Psychosocial Geriatrics Research Section (Marcia Ory) is specifically focused on social and behavioral factors as they influence the health and physical functioning of people as they age.

Representative topics include:

- psychosocial predictors of morbidity, functioning, and mortality;
- health behaviors and behavior change interventions;
- illness behaviors and coping with chronic illnesses and disabilities; and
- gender differences in health and longevity with special emphasis on women's health and behavior.

The Health Care Organizations supports research on the antecedents of a wide range of formal health care and related services, as well as on the structure, processes, and outcomes of different formal care systems. Representative topics include:

- basic social science research on health care organizations and the impact of changing health care structures and delivery systems;
- the nature and effectiveness of new and evolving forms of home and community-based services for older people;
- behavioral, social, or environmental strategies for improving institutional care; and
- burdens of care for Alzheimer's disease.

The Older People in Society supports studies of how and with what consequences people are influenced by cultural and social institutions (family, community, societal groups) and how these institutions are, in turn, affected by older people themselves. Interpersonal studies and qualitative approaches are encouraged. Representative topics include:

- intergenerational relationships and grand-parenthood;
- informal caregiving in the family and community;
- work and caregiving roles;
- ethnicity and aging;
- community support networks;
- elder abuse and violence; and
- the influence of religion in the lives of older people.

## Explanatory Note

These abstracts are taken from research grants supported by the Behavioral and Social Research Program of the National Institute on Aging (BSR/NIA) that were active during the Fiscal year 1997. In all cases, the abstracts were prepared by the investigators and were obtained from two sources at the National Institutes of Health: a) CRISP (Computer Retrieval of Information of Scientific Projects) or b) the grant application. While an attempt has been made to be as complete as possible, abstracts of some research projects could not be obtained. Consequently, this publication does not represent an exhaustive compilation of all research supported by BSR/NIA.

In addition to including a brief description of the research project, each abstract contains the name and address of the principal investigator, the total (direct and indirect costs) awarded for one year, the BSR Section to which the grant is assigned, and the Initial Review Group that provided the primary scientific peer review of the research application. Moreover, the Project Number includes encoded information. Explanations of these codes are provided below. For example, the Project Number 5 R01 AG05739-03 indicates:

5	Type of Grant
R01	Mechanism
AG	Funding Institute
5739	Project Identifier
-03	Project Year

The abstracts are ordered alphabetically by the Principal Investigator's name within each program section. Abstracts for subprojects of multi-project grants, e.g., Program Project (P01) Grants, are also listed alphabetically by the investigator in charge of the subproject. For further information about specific research projects, please direct your inquiries to the principal investigators.

Bibliographic to key publications associated with each grant have been provided by the Principal Investigator. Many grants do not have listed because the grant is too new to have generated research publications or because they were not provided. from subprojects of multi-project awards are listed under the name of the Principal Investigator of the multi-project grant (not under the name of the Principal Investigator of the subproject). Admittedly, this is rather cumbersome and reflects the fact that the citations were in part collected and organized for other administrative purposes.

## Project Number Codes

### Type

1	New
2	Competing Renewal
3	Supplement
5	Noncompeting Continuation
6	Change of Institution

### Mechanism

R01	Regular Research Project
R13	Conference
R15	Academic Research Enhancement Award
R29	FIRST (First Independent Research Support and Transition)
R37	MERIT (Method to Extend Research In Time)
R43	SBIR (Small Business Innovation Research), Phase I
R44	SBIR, Phase II
P01	Program Project
P20	Exploratory Center
P30/50	Center
K01	SERCA (Special Emphasis Research Career Award)
K04	Career Development
U01	Cooperative Agreement

### Selected List of Initial Review Groups

NBSA-B	Neuroscience Behavior and Sociology of Aging (NIA)
BCD-B	Biological and Clinical Aging (NIA)
AGE	Geriatrics Review (NIA)
BEM	Behavioral Medicine (CSR)
EDC	Epidemiology and Disease Control (CSR)
HUD2	Human Development and Aging (CSR)
LCR	Life Course and Preventive Research (NIMH)
NURS	Nursing Research (NINR)
SSP	Social Science and Population (CSR)
SSS	ad hoc Special Study Section
VIS	Visual Sciences (CSR)

# **Demography of Aging**

PROJECT NUMBER.....1 R03 AG14885-01

INVESTIGATOR NAME/ADDRESS

ALBERT, STEVEN M  
COLUMBIA UNIVERSITY  
630 WEST 168TH STREET  
NEW YORK, NY 10032

AWARD AMOUNT..... \$30,001

PERFORMING ORGANIZATION: COLUMBIA UNIVERSITY NEW YORK

TITLE: REPORTING ADL AND IADL DEFICIT IN THE HRS--AHEAD

ABSTRACT:

The proposed pilot addresses the call for projects regarding "Health, Work, and Retirement." It will examine cognitive processes involved in response to survey items included in the Health and Retirement Study--Assets and Health Dynamics of the Oldest Old (HRS-AHEAD). While the importance of functional status indicators for prediction of future health change is well demonstrated, less is known about the ways older adults actually estimate their functional status, i.e., when occasional difficulty or perhaps difficulty with some component of a task leads a respondent to consider the task "difficult" in a survey context. Estimation procedures may vary by task type and also according to features of respondents, such as educational attainment, race-ethnicity, and cognitive status.

To examine these issues, we propose to (1) Field the ADL/IADL items included in the HRS-AHEAD in a sample of 180 respondents currently followed in a multicultural population-based sample (Northern Manhattan Aging Project); (2) Elicit concurrent opened-ended verbal protocols from respondents for each task to examine factors that may affect self-reported difficulty or need for help with functional tasks; and (3) Test a cognitive model that may account for variation in self-reported difficulty with functional tasks. We hypothesize that tasks performed irregularly (without a fixed periodicity), such as using the telephone or handling money, will entail different cognitive strategies in respondent self-reports than more regularly performed tasks (such as taking medications, dressing, or bathing). Tasks differing in the extent to which they can be modified or variably accomplished may also differ in retrieval strategies used for judgments of difficulty. This difference may be relevant for the accuracy of self-reports. To assess the latter, we will compare HRS-AHEAD survey reports of difficulty/need for help in each task to self-reported activity over the prior day, as elicited in a 24-hour time budget.

PROJECT NUMBER.....5 R01 AG13036-02

INVESTIGATOR NAME/ADDRESS

AMICK, BENJAMIN C, III  
NEW ENGLAND MED CTR  
750 WASHINGTON ST BOX 345  
BOSTON, MA 02111

AWARD AMOUNT..... \$297,149

PERFORMING ORGANIZATION: NEW ENGLAND MEDICAL CENTER

TITLE: WORKING LIVES AND MORTALITY IN AGING

ABSTRACT:

DESCRIPTION: (Adapted from Investigator's Abstract) Work continues to be a central social aspect of a person's life providing meaning and identity throughout the lifecourse, ultimately influencing mortality. The proposed research will use data from the Panel Study of Income Dynamics (PSID), an ongoing longitudinal survey of U.S. Households begun in 1968 with mortality follow-up through 1992, to resolve several major issues regarding the relationship between psychosocial work conditions and mortality, and assess whether work life is causally related to mortality. The PSID data constitute an unprecedented opportunity to establish a 'data laboratory' for studying 25 consecutive years of work environment exposure history and how exposures over the life course relate to mortality in a national cohort including working women and blacks.

The proposed research has three specific aims, as follow: (1) to examine how psychosocial work conditions influence survival; (2) to explore how the progression of a person's career, the arrangement of jobs within the context of an individual's worklife, influences survival; and (3) to describe how survival rates vary by race and gender.

The four major hypotheses are as follow: (1) hazardous psychosocial work conditions will predict mortality after adjustment for hazardous physical and environmental conditions of work; (2) the progression of careers will influence mortality after adjustment for hazardous working conditions; (3) the relationship between working life (exposure to hazardous working conditions and the progression of careers) and mortality will vary by race and gender; and (4) non-work burdens (e.g., household work or stressful residential neighborhoods) and resources (e.g., social support) will differentially influence racial and gender survival rates.

A sub-sample of approximately 4,500 adults age 25 to 65 who were working in 1968 and followed until 1992 comprise the cohort. About 1,000 deaths have occurred during the follow-up period. Data analysis will employ proportional hazard models with and without time-dependent covariates. To avoid potential biases of self-reported work conditions, exposures are imputed from three-digit occupational codes to establish up to 25 years of exposure history. Hazardous physical and environmental work conditions are also assigned to individuals based on the three-digit occupational code improving the precision of the estimate of the relationship of psychosocial work conditions to survival. With year-to-year determination of occupation, the bias introduced by retrospective assessment of occupation is avoided.

The investigators state that the proposed research significantly improves on previous analyses by examining the dynamics of the relationship between hazardous work and health including the selection of workers out of the workforce due to work-related disability and the movement of individuals from more hazardous psychosocial work conditions to less hazardous conditions. In addition, they state they will compare, for the first time, the two methods used for describing psychosocial work conditions -- one based on job ratings in the Dictionary of Occupational TITLES, and the other using aggregate measures of job stress from national quality of employment surveys.

PROJECT NUMBER.....1 R03 AG14925-01

INVESTIGATOR NAME/ADDRESS  
ARMSTRONG, TRACY L  
UNIVERSITY OF MARYLAND

AWARD AMOUNT..... \$24,355

COLLEGE PARK, MD 20782-1315

PERFORMING ORGANIZATION: UNIVERSITY OF MARYLAND COLLEGE PK CAMPUS  
TITLE: PRIVATIZATION AND ACCESS TO HEALTH SERVICES IN THE ELDERLY

ABSTRACT:

DESCRIPTION: (adapted from the application). This dissertation seeks to examine the impact of changing socio-economic structure on Russian elderly men and women's health conditions and access to health care using data from the 1992 and 1994 waves of the Russian Longitudinal Monitoring Survey (RLMS). With privatization and increased diversity in employment patterns, this investigator expects workers currently employed in or retired from government enterprises to have greater levels of health benefits than workers in private firms, although it seems possible that the higher incomes earned in private firms may offset some decline in benefits. She expects the differences in health benefits to vary by age, sex, and ethnicity.

This project will address the following questions: (1) Are there differences in earnings and access to health benefits among workers employed in Russian owned enterprises, foreign enterprises and government owned enterprises? (2) Are there cohort differences in access to health benefits? (3) Are there gender differences in access to health benefits? (4) To what extent do these differences, if any, translate into utilization of health services for cardiovascular diseases?



PROJECT NUMBER.....1 R03 AG14217-01

INVESTIGATOR NAME/ADDRESS

BEAN, FRANK D

UNIV OF TEXAS, AUSTIN

1800 MAIN BUILDING

AUSTIN, TEXAS 78712

AWARD AMOUNT..... \$74,058

PERFORMING ORGANIZATION: UNIVERSITY OF TEXAS AUSTIN

TITLE: PATTERNS OF SSI RECEIPT AMONG ELDERLY IMMIGRANTS

ABSTRACT:

Over the past 10 to 15 years, researchers have observed substantial growth in the SSI caseload due to increases in the numbers of immigrants who receive benefits (Ross, 1995; Rector, 1996). Moreover, previous research that uses 1980 and 1990 U.S. census data shows that immigrants receive SSI at higher rates than do natives, and that this differential remains even when differences in age structure, disability, poverty and a number of other social variables are taken into account (Bean, Van Hook, and Glick, 1996). The primary concern of the proposed research is to disclose the determinants of both the absolute and relative growth in SSI receipt among elderly and disabled immigrants compared to natives using 1980 and 1990 census data, the 1994 and 1995 March Current Population Survey (CPS) data files and recent panels of the Survey of Income and Program Participation (SIPP). The research specifically aims to explain immigrant/native differentials and changes over time in terms of differences in characteristics relating directly to eligibility for SSI (age, disability, income and assets), differences in characteristics leading both directly and indirectly to SSI receipt including the availability of alternative means of support (Social Security receipt, home ownership, intragenerational wealth transfers, human capital variables), and differences in the propensity to use welfare that may be detected within communities of immigrants. Because immigrants do not comprise a homogeneous group, the research will discern the patterns of determinants among various country-of-origin and period-of-entry immigrant cohorts.

PROJECT NUMBER.....1 R03 AG14547-01

INVESTIGATOR NAME/ADDRESS

BOUND, JOHN

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$69,337

1225 S UNIVERSITY AVE

ANN ARBOR, MI 48109-2590

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: MEASURING THE EFFECTS OF HEALTH ON RETIREMENT BEHAVIOR

ABSTRACT:

This proposal addresses the interplay between health and labor market behavior in the later part of the working life. Although the significance of health for the retirement transition has generally been recognized, existing investigations of this effect have been hampered by the lack of longitudinal data containing adequate information on health status and on the financial constraints individuals face. As a result, important questions remain regarding the magnitude of the effects of health on labor force behavior and regarding the extent to which health status interacts with personal, economic and job characteristics to affect retirement transitions.

The proposed research will use the new Health and Retirement Survey (HRS), a national survey of adults aged 50-62 at baseline, to analyze the effect of health on retirement within the context of a well-specified longitudinal economic model. The research will estimate the effects of health and changes in health on labor force exit between Wave 1 (1992/93) and Wave 2 (1994) of the HRS. It will pay particular attention to concerns from earlier research regarding the limitations of self-reported health data. Specifically, it will use latent variable techniques to model health status, explicitly addressing issues of endogeneity and measurement error in self-reported data on work disability, general health, functional limitation, morbidity and other health indicators. In addition, it will explore the theoretical and empirical implications of modeling health in different ways

The proposed research will be among the first to fully utilize the rich HRS health measures in longitudinal models of retirement behavior. The HRS was designed with careful attention to the state of the art measuring health status in self-reported surveys, and includes more detailed health information than has been previously been available in labor forces. This research is intended to provide additional insight into the quality and possible uses of these data. The findings should improve understanding of labor market behavior, guide future research on health status and retirement behavior, and inform the design of future social science surveys. In addition, the findings may quantify the possible limitations of using data sets with less detailed health measures.

PROJECT NUMBER.....1 R03 AG14509-01

INVESTIGATOR NAME/ADDRESS  
BOYD, MONICA  
FLORIDA STATE UNIVERSITY

AWARD AMOUNT..... \$49,999

TALLAHASSEE, FL 32306-4063

PERFORMING ORGANIZATION: FLORIDA STATE UNIVERSITY

TITLE: POSTIMMIGRATION MOBILITY OF THE FOREIGN-BORN ELDERLY

ABSTRACT:

This proposal considers the nexus between two crucial facets of contemporary American population dynamics, namely immigration and aging. The focus of the project will be the residential mobility of the foreign-born population of the United States. The proposed research will: determine the extent to which foreign-born elderly differ from the native-born in age-specific residential mobility rates and in the origin-destination patterns of their migration flows; analyze differences between the foreign-born and native-born using statistical models which relate the migration decisions of the elderly to gender, to family and household structure, to individual economic circumstances, and to the characteristics of origin and destination areas within the United States; investigate the impact of migration by the elderly foreign-born on the economic and demographic structures of states and local areas, particularly for major ports-of-entry such as Los Angeles, Miami and New York; and, finally, investigate relationships between internal migration behavior and the use of public programs such as Social Security and SSI. Because migration, old age, and foreign-born status are all relatively rare, only the decennial census provides sample sizes adequate for our purposes. We will utilize the 1990 Census, primarily the public use micro data samples (PUMS), for our research. These data will permit total national coverage; afford good geographic detail in terms of origin and destination locations in the United States; permit researchers to link individuals with the context of their household of residence; and provide detailed information on total population characteristics for both origin and destination. We have already created a data file containing information for nearly 3.5 million persons aged 60 plus in 1990 and who resided in the United States on April 1, 1985 (and thus were "at risk" of being internal migration during the 1985-90 period). About one-quarter million of these individuals were born outside the United States and represent the focal point for the proposed research.

PROJECT NUMBER.....5 R01 AG10266-05

INVESTIGATOR NAME/ADDRESS

BUMPASS, LARRY L

UNIVERSITY OF WISCONSIN

AWARD AMOUNT..... \$229,447

1180 OBSERVATORY DR

MADISON, WI 53706

PERFORMING ORGANIZATION: UNIVERSITY OF WISCONSIN MADISON

TITLE: AGING AND THE FAMILY OVER THE LIFE COURSE

ABSTRACT:

We propose to reinterview the National Survey of Families and Households sample in 1992-93, five years after the original interview. The 1987-88 NSFH was a comprehensive survey of American family life, involving interviews with a probability sample of over 13,000 adults (as well as their spouse/partner when married or cohabiting). The NSFH was planned to include a followup interview to permit the prospective investigation of family phenomena. In addition to interviewing the original respondent, we will interview his/her current spouse or partner, the original spouse/partner (if the relationship has terminated) and, where appropriate, a parent of the respondent age 60 and older.

The reinterview will cover most of the same domains of family experience as NSFH1, including (1) updating marriage and cohabitation, fertility, household composition, education, and work histories; (2) quality of relationship between spouse/partners; (3) parenting practices and parent-child relationships; (4) relationships between parents and their absent minor children; (5) relationship of parents with young adult children; (6) health and well-being; (7) Kinship and social support - parents, adult children, other kin and non-kin; (8) attitudes, opinions, normative statements regarding family issues; and (9) economic situation - current employment status, income by source of each household member, assets, debt, division of household labor. The proposed telephone interview with a parent of the respondent will give us a unique ability to examine intergenerational relationships between middle-aged adults and their parents as dyads, in much the same way as we analyze data obtained from both spouses or from children and their parents.

PROJECT NUMBER.....1 R03 AG14495-01

INVESTIGATOR NAME/ADDRESS  
CAWTHON, RICHARD M  
UNIVERSITY OF UTAH  
BLDG 533, RM 2100  
SALT LAKE CITY, UT 84112

AWARD AMOUNT..... \$67,837

PERFORMING ORGANIZATION: UNIVERSITY OF UTAH

TITLE: SELECTION OF FAMILIES FOR GENETIC ANALYSES OF LONGEVITY

ABSTRACT:

The long term objective of this application is to develop criteria for the identification of families with patterns of longevity that are largely genetically determined. Such criteria could greatly facilitate future efforts to map and clone genes contributing to human longevity. Identification of these genes may lead to the discovery of the fundamental molecular mechanisms of senescence, and to the development of therapeutic interventions that simultaneously promote longevity and postpone the onset of multiple age-related diseases and disabilities.

The Specific Aims of the Research Plan are 1) Test the hypothesis about mitochondrial inheritance. The hypothesis that mitochondrial genetic variants can predispose to longevity predicts that the incidence of longevity among individuals from the same maternal lineage as an extremely long-lived proband with regard to the inheritance of nuclear genes, but who derive their mitochondria from other maternal lineages.

To find families suitable for sib pair linkage studies to map nuclear genes contributing to longevity, families will be ascertained on the basis of one or more of the family members meeting various selection criteria relevant to longevity. The frequency of longevity among siblings who were not the basis of ascertaining the family will then be compared to the frequency of the longevity in the general population to obtain a relative risk,  $\lambda$ , of longevity. To maximize power to detect linkage, one would like to find family selection criteria that 1) yield a high  $\lambda$ , and 2) are met by large numbers to sib pairs in the population that is available for sampling.

This proposal addresses the Biodemography of Aging, an area targeted by this research grant program.

PROJECT NUMBER.....1 R43 AG14312-01

INVESTIGATOR NAME/ADDRESS

COHEN, MARC A

LIFEPLANS, INC

AWARD AMOUNT..... \$100,000

51 SAWYER ROAD

WALTHAM, MA 02154

PERFORMING ORGANIZATION: LIFEPLANS, INC.

TITLE: AUTOMATION OF LONG TERM CARE PROVIDER PROFILING TOOL

ABSTRACT:

The purpose of this Phase I project is to develop a prototype for a PC-based Profiling Tool for the evaluation of long-term care providers including nursing homes and home health care agencies. To date, an automated Long-Term Care Provider Profiling Tool does not exist although such tools are used extensively in acute care. The major aim of the proposed Profiling Tool is to enable managed care organizations (HMOs), hospitals, the state, and insurers to evaluate the efficiency and effectiveness of long-term care providers. The Tool will provide aggregate profiling information on patterns of service use, costs, and measures related to the effectiveness or quality of service. It would enable comparisons across providers on key parameters; provide national "benchmarks" on selected profiling characteristic, and HMOs to have an informed basis on which to develop long-term care preferred provider organizations (PPOs) or integrated acute and long-term care network. As movement toward greater integration of acute and long-term care service continues, the need for a profiling tool to evaluate, monitor and compare long-term care providers on key utilization, cost and effectiveness measures will increase.

By providing an automated Long-Term Care Provider Profiling managed care organizations (HMOs), hospitals, the state, and insurers to evaluate the efficiency and effectiveness of long-term care providers. The Tool will provide aggregate profiling information on patterns of service use, costs, and measures related to the effectiveness or quality of service; will provide national "benchmarks" on selected profiling characteristics; will contribute to the development of local provider organizations (PPOs) or integrated acute and long-term care networks.

PROJECT NUMBER.....5 R29 AG12658-02

INVESTIGATOR NAME/ADDRESS

COSTA, DORA L

MASSACHUSETTS INST OF

TECHNOLO

AWARD AMOUNT..... \$100,538

50 MEMORIAL DR, BLDG E52-262B

CAMBRIDGE, MA 02139

PERFORMING ORGANIZATION: MASSACHUSETTS INSTITUTE OF TECHNOLOGY

TITLE: HEALTH OF YOUNG ADULTS--EVIDENCE CAUSES AND OUTCOMES

ABSTRACT:

DESCRIPTION: This project aims to help resolve controversies on the length of life above age 65, the separability of chronic conditions and age, the impact of health at younger ages on subsequent wealth formation, morbidity, and mortality, the extent of displacement of private savings by public transfers, and the impact of public transfers and private savings on labor force participation rates of older men. Resolution of these issues has direct relevance to such urgent policy issues as the size of the elderly population eligible for Social Security, the wealth generating ability of future generations during their working years, and the future cost of health care and of retirement benefits. Recent forecasts have, for the most part, been based upon data that begins only in the late 1960s, and which may reflect short-term fluctuations rather than a long-term trend. Forecasts that reflect the long- term trend will be more soundly based. The project will provide data that can help adjust forecasts for underlying trends.

A public-use tape suitable for a study of the impact of early childhood socio-economic factors and exposure to disease during developmental ages on health at young adult ages, occupational mobility, wealth formation, and morbidity and mortality at older ages will be produced as part of this project. The sample will consist of 22,818 men, both black and white, who served in the Union Army and for whom detailed health information, as proxied by height, weight for height, central body fat, including waist-hip ratio, the ratio of chest circumference to height, and the ratio of chest circumference to shoulder diameter, and vital capacity is available. The data will provide the earliest known information for the United States on most of these anthropometric measures and contain a richness of anthropometric variables that is rare even in recent data sets. Detailed socio-economic information, including education, is available as well. The level of detail on education is unique for this time period. A subsample of men will be linked to information in pension, census, and probate records on older age mortality, morbidity, and wealth holdings. Few data sources on either recent or past populations provide such a rich array of variables for the study of the impact of health over the life cycle.

PROJECT NUMBER.....5 R01 AG11235-04

INVESTIGATOR NAME/ADDRESS  
CRIMMINS, EILEEN M  
UNIV OF SOUTHERN CALIFORNIA  
3715 MCCLINTOCK AVE, GER 218  
LOS ANGELES, CA 90089-0191

AWARD AMOUNT..... \$148,178

PERFORMING ORGANIZATION: UNIVERSITY OF SOUTHERN CALIFORNIA  
TITLE: ACTIVE LIFE EXPECTANCY IN THE OLDER POPULATION

ABSTRACT:

DESCRIPTION: Using the Health and Retirement Survey, the proposed research will investigate the effects of socioeconomic status (SES) on chronic health problems and disability for a nationally representative sample of middle-aged and older persons. Specifically, the aims of the proposed research are to (1) determine the SES gradient across types of health problems defining the course of the disablement process and (2) investigate how SES differences in health changes are related to differential exposure to unhealthful and demanding work environments, risky health behaviors, and access to and utilization of medical care.



PROJECT NUMBER.....1 R03 AG14175-01

INVESTIGATOR NAME/ADDRESS  
DENTON, NANCY A  
UNIVERSITY AT ALBANY, SUNY

AWARD AMOUNT..... \$70,273

ALBANY, NY 12222

PERFORMING ORGANIZATION: STATE UNIVERSITY OF NEW YORK AT ALBANY  
TITLE: SPATIAL ISOLATION OF IMMIGRANT AND POOR ELDERLY BY RACE

ABSTRACT:

The spatial segregation and isolation of the elderly are important to their own personal satisfaction, and to the various social service programs that serve them. In addition, spatial concentration of the elderly plays a role in determining intra-neighborhood heterogeneity and inter-generational contact, can affect the neighborhood transition process by creating clusters of available housing, and may have implications for the community as a whole by structuring support for age-related community services such as schools, libraries, daycare centers, etc.

The proposed research will use census tract data from the 1970, 1980 and 1990 decennial censuses to investigate issues related to the spatial location of the elderly in metropolitan areas in the U.S. First, it will calculate the segregation and neighborhood isolation of the total population aged 65 +. and then break the population down into non-Hispanic white, non-Hispanic black, Asian and Hispanic groups and calculate their segregation from non-Hispanic whites and from each other. Trends in the segregation of these race/elderly groups will be measured over time, from 1970-1990. Second, within each of the four race/ethnic groups, the 1990 segregation of the elderly by immigrant and poverty status will be calculated to show how spatial isolation varies within these groups. Third, for a small sample of metropolitan areas where the elderly and immigrant elderly are concentrated, the project will calculate profiles of the neighborhood environments of these different groups of elderly, estimate the role of the elderly in neighborhood race/ethnic and socioeconomic status transitions, with particular emphasis on racial/ethnic differences in these effects, and create maps of the elderly location and their neighborhoods.

PROJECT NUMBER.....7 R01 AG13769-02

INVESTIGATOR NAME/ADDRESS

EKERDT, DAVID J

UNIVERSITY OF KANSAS

AWARD AMOUNT..... \$154,226

4089 DOLE

LAWRENCE, KANSAS 66045

PERFORMING ORGANIZATION: UNIVERSITY OF KANSAS LAWRENCE

TITLE: CHANGING DECISIONS AND PLANS FOR RETIREMENT

ABSTRACT:

DESCRIPTION: This is a proposal to use secondary data to investigate the processes of decision making for retirement. The investigators argue that people's practical involvement with retirement begins long in advance of the end-game circumstances that are analyzed in research on the retirement "decision," research that usually studies the outcomes, rather than the actual making, of decisions. Although decision making cannot be readily observed in the proposed study, the investigators assert that much can be learned from workers' plans or behavioral intentions. The plans that workers entertain over time are the manifest aspect of decision making. Retirement behavior, ultimately, is the consequence of earlier plans made and re-made that will have channeled workers toward particular employment and retirement outcomes. The investigators assert that workers entertain plans from within an "opportunity structure" composed of biographical and situational factors that make future action conceivable. Because the opportunity structure is unstable, plans can change, rendering workers' encounter with retirement as truly developmental.

The project will be based on three biennial waves of data from the National Health and Retirement Study (HRS), from 1992 to 1996, using a study population of approximately 9,800 male and female workers aged 51-61 at Wave 1 and 55-65 at Wave 3. The five specific aims are to: a) establish a comprehensive measurement framework for general types of retirement plans that encompass the heterogeneity of work and retirement intentions, including authentic stances such as plans never to retire and uncertain plans; b) confirm the theoretical predictability of retirement plan types and the relationship of these behavioral intentions to preparation steps; c) examine the liability of plans and whether they become more defined over time; also to evaluate the near-term accuracy of plans for workers who exit their jobs; d) test with lagged models whether plans flow from a structure of opportunity that rises in force with the approach of retirement; and e) link change in the opportunity structure to changes in plans, and test whether the temporal depth of prior plans predicts their later fulfillment.

The investigators argue that detailed information about people's extended decision making for later life should benefit retirement preparation specialists, authorities who disseminate lifestyle advice to persons of retireable age, and policy makers who design retirement incentives. This project will examine workers' emotional and financial preparation for their later years and add to knowledge about who chooses their future, who fails to control it, and who risks losing control of retirement decisions.

PROJECT NUMBER.....1 K01 AG00717-01A1

INVESTIGATOR NAME/ADDRESS

ELO, IRMA T

UNIVERSITY OF PENNSYLVANIA

AWARD AMOUNT..... \$86,400

3718 LOCUST WALK 239 MC NEIL

PHILADELPHIA, PA 19104-6298

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA

TITLE: SOCIOECONOMIC STATUS, HEALTH AND MORTALITY

ABSTRACT:

DESCRIPTION (adapted from the application): Dr. Irma Elo received an MPA in public affairs in 1986 and a Ph.D. in public affairs and demography in 1990 from Princeton University. During her graduate career she was supported by a John D. and Catherine T. MacArthur Foundation fellowship for the study of population and development, 1989-1990, an NIH traineeship in demography (1987-89), and a Princeton University fellowship (1984-87). From 1990 to 1992 she was a NIA postdoctoral fellow at the Population Study Center of the UP, where from 1992 to the present she has been a research associate. From 1994 to the present she has also been an adjunct assistant professor of sociology and from 1995 to the present has served as associate director of the Population Aging Research Center at the UP. She lists twelve publications and is the primary author on nine of them. She states that "the addition of Professor Rosenzweig as my second main mentor, and the focus of the career development plan on training in econometrics and economic approaches to the analyses of health and mortality, clearly provides a departure from my previous research with Professor Preston in this area and that the proposed career development plan will substantially enhance my ability to undertake independent research in the future" (p. 34).

PROJECT NUMBER.....5 K01 AG00588-05

INVESTIGATOR NAME/ADDRESS  
EWBANK, DOUGLAS C  
UNIVERSITY OF PENNSYLVANIA  
3718 LOCUST WALK-239 MCNEIL  
PHILADELPHIA, PA 19104-6298

AWARD AMOUNT..... \$106,553

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA

TITLE: DEMOGRAPHY AND ECONOMICS OF ALZHEIMERS DISEASE

ABSTRACT:

This proposal requests funding for the fourth and fifth years of a SERCAAWARD. The candidate, Douglas Ewbank, has extensive research experience working on mortality and health in developing countries. During the first two years of the SERCA he has studied Alzheimer's disease through collaborative research. He has also developed preliminary models of the incidence and prevalence of Alzheimer's disease. During the third year he will be initiating collaborative research on utilization of nursing homes.

The proposed research will involve two activities examining the demographic implications of medical breakthroughs for the treatment of Alzheimer's disease. The first is the development of a demographic model of the relationship between the incidence, prevalence and rate of progression of Alzheimer's disease and the demand for nursing homes. The second activity will be the analysis of data on the determinants of the demand for nursing homes to estimate the parameters necessary for the demographic model. The Penn Population Studies Center (PSC), an NICHD-funded center, is one of the preeminent demographic research centers in the world. It has received NIA funding for postdoctoral fellows and to support the new Population Aging Research Center. Samuel Preston will serve as mentor for this project. He is involved in several projects on the demography of aging. Ewbank will also be collaborating with several members of Penn's Alzheimer's Disease Center Core (ADCC), an NIA funded research center.

PROJECT NUMBER.....5 R01 AG12291-03

INVESTIGATOR NAME/ADDRESS

FREY, WILLIAM H

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$142,124

1225 SOUTH UNIVERSITY AVENUE

ANN ARBOR, MI 48104-2590

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: MIGRATION AND REDISTRIBUTION OF THE U.S. ELDERLY

ABSTRACT:

This project will undertake an integrated set of analyses that link elderly migration to elderly population redistribution across U.S. states and metropolitan areas using 1990 census data. Its goals will be: (1) To identify the selectivity and determinants of elderly migration streams across a nation-wide spatial system, and (2) To determine the relative contribution of migration and aging-in-place for the size and composition of the elderly populations for individual areas (States and metropolitan areas).

These aggregate-level analyses will utilize multivariate analyses and population projection techniques common to studies in demography, sociology, and geography. They will employ the combined 1990 census PUMS 5% and PUMSO 3% files, as well as special unsuppressed full sample migration tabulations from the 1990, 1980, and 1970 U.S. censuses. The availability of these large files, utilized with the analytic techniques discussed in this proposal, will permit us to update and integrate the findings of earlier, separate studies of elderly migration and redistribution into a single investigation.

PROJECT NUMBER.....1 R01 AG15110-01

INVESTIGATOR NAME/ADDRESS

GARBER, ALAN M

NBER

AWARD AMOUNT..... \$149,077

904 JUNIPERO SERRA BLVD

STANFORD, CA 94305-8715

PERFORMING ORGANIZATION: STANFORD UNIVERSITY

TITLE: DISUTILITY OF FUNCTIONAL LIMITATIONS IN THE ELDERLY

ABSTRACT:

DESCRIPTION: This three-year study will consist of four phases: 1) refinement and testing of a multimedia preference assessment instrument; 2) assessing utilities for ADL dependencies from 1,200 elderly persons drawn from the Kaiser-Permanente Medical Care Program (KPMCP); 3) analyzing the relationships between utilities and respondents' characteristics; and 4)PERFORMING the cost-effectiveness analysis (CEA) and cost-benefit analysis of GEM.

The investigators plan to assess utilities using a multimedia based computer software program called FLAIR. FLAIR consists of pictures, movies, voice recordings, and text to describe hypothetical health states to study participants. Following pilot testing, the investigators will obtain standard gamble and willingness-to-pay utilities for current health, dependency in each of seven ADLs, dependency in all seven ADLs, and dependency in each of six combinations of ADLs drawn from a factorial grid. Those health states encompass 98 percent of prevalent health states in the elderly. Utilities for the other two percent will be imputed using a regression model.

Utilities will be incorporated with survival and direct medical costs into the CEA of GEM. In addition, the willingness-to-pay data will be used in a cost-benefit analysis. Effectiveness data for the economic analyses will come from one or more ongoing randomized trials of GEM.

PROJECT NUMBER.....1 R03 AG14168-01

INVESTIGATOR NAME/ADDRESS

GOLDSTEIN, JOSHUA R

PRINCETON UNIV

AWARD AMOUNT..... \$30,935

21 PROSPECT AVE

PRINCETON, NEW JERSEY 08544-20

PERFORMING ORGANIZATION: PRINCETON UNIVERSITY

TITLE: MODELING US TIME TRENDS IN MARRIAGE AND DIVORCE

ABSTRACT:

I propose to model and forecast age- and duration specific marriage, divorce, widowhood, and remarriage rates in the United States. While the focus of past research on divorce and remarriage has been on the outcomes for children and working-age women, marriage and divorce patterns also have important consequences for the elderly. Nuptuality trends help determine the structure of the multi-generational kinship and support networks available to the elderly. Furthermore, forecasts of remarriage at older ages - following both divorce and widowhood - directly affect the living arrangements of the elderly and the companionship and support available to them. The lower mortality and better health observed among married people appears due not only to a selection effect of those who enter and stay married but to a protective effect from marriage.

The methods I plan to use are based on the innovative forecasting techniques developed for mortality forecasting by Ronald Lee and Larry Carter. The project will (1) extend these statistical methods in order to work with the duration- and age- specific nature of divorce and remarriage, (2) forecast future nuptuality rates and their implications for the marital status of the elderly and their families, and (3) produce a consistent time series of marriage, divorce, and remarriage rates for use by the research public. Data will be from a combination of NCHS vital statistics and retrospective martial histories from the Current Population Survey.

This pilot project is intended to lead to a subsequent request for longer-term support such as a FIRST grant or Independent Investigator AWARD to study further the consequences of divorce and remarriage on modern kinship networks.

PROJECT NUMBER.....5 R01 AG11850-03

INVESTIGATOR NAME/ADDRESS

GREENWOOD, MICHAEL J

UNIVERSITY OF COLORADO

AWARD AMOUNT..... \$211,105

CAMPUS BOX 257

BOULDER, CO 80309-0257

PERFORMING ORGANIZATION: UNIVERSITY OF COLORADO AT BOULDER

TITLE: ELDERLY U.S. IMMIGRANTS

ABSTRACT:

This proposal, which is in response to the NIA program announcement on the "Causes and Effects of Elderly Population Concentrations, PA-92-62," is concerned with elderly immigrants and foreign-born residents of the U.S., both those who enter at younger ages and mature in the U.S. and those who enter during their later years. Little is known about elderly foreign-born persons, either in and of themselves or relative to their native counterparts. The proposed research would: 1) describe the volume and composition of elderly U.S. immigrants, including who they are, where they come from, and by what immigrant class they gain entry into the U.S with annual tracking from 1972 to and beyond 1990; 2) model the determinants of their immigration as a function of other source-country specific immigration, availability of various social programs in source countries and their transferability, economic differentials, and more and also model the age composition of U.S. immigration, 1972-1990 (and beyond); 3) describe the U.S. settlement patterns of elderly immigrants and foreign born, of both current and earlier cohorts, including their internal migration patterns; 4) model the determinants of the settlement patterns of immigrant and foreign-born elderly persons; and 5) describe and analyze the participation of elderly foreign-born persons in social programs relative to otherwise comparable native-born persons.

The study would use INS microdata, Census microdata, and a number of additional data sources. A variety of econometric techniques would be necessary, including methods of studying panel data and methods of analyzing microdata, with selectivity corrections.

Given their growing volume and concentration, the use of public services by elderly foreign-born persons is an obvious public concern. By focusing on the use of various public services by the elderly foreign born and providing empirical evidence regarding age-related programs, the proposed research will greatly broaden our understanding of the impacts of elderly foreign-born persons, distinguished by country of birth and entry cohort.



PROJECT NUMBER.....2 T32 AG00129-09A2

INVESTIGATOR NAME/ADDRESS

HAUSER, ROBERT M

UNIVERSITY OF WISCONSIN

1180 OBSERVATORY DRIVE

MADISON, WI 53706-1393

AWARD AMOUNT..... \$82,026

PERFORMING ORGANIZATION: UNIVERSITY OF WISCONSIN MADISON

TITLE: POPULATION, LIFE COURSE AND AGING

ABSTRACT:

This is a proposal for 4 predoctoral and 1 postdoctoral traineeships as a complementary training program in connection with T32 HD 07014. It is built in the outstanding NICHD training program in the Center for Demography and Ecology at the University of Wisconsin. The program will build on the interdisciplinary integration of research and teaching provided by the Departments of Sociology and Economics, the Institutes on Aging, and other departments and institutes, such as a strong and growing program in family studies and life course perspectives. The Center for Demography has a long-term record of successful training and placement of its graduates. The first 5-year cycle of this complementary program and subsequent extensions of it have succeeded both in training good students and in helping to integrate the community of researchers working on aging-related topics. The objective of this complementary program is to recruit and prepare promising students for careers in the social demography of aging, and to train multi-disciplinary life-course perspectives. We expect trainee activities to focus on issues of mid-life development, intergenerational relations, and health, in which data and faculty resources are especially strong in Madison. This proposal focuses on a combination of disciplinary and cross-disciplinary training with research apprenticeships and continuing training seminars in demography and in life-course and aging research.

PROJECT NUMBER.....5 R01 AG09775-06

INVESTIGATOR NAME/ADDRESS

HAUSER, ROBERT M

UNIVERSITY OF WISCONSIN

AWARD AMOUNT..... \$210,459

1180 OBSERVATORY DRIVE

MADISON, WI 53706-1393

PERFORMING ORGANIZATION: UNIVERSITY OF WISCONSIN MADISON

TITLE: THE WISCONSIN LONGITUDINAL STUDY

ABSTRACT:

This is a proposal for research on the adult life course, primarily using data from the Wisconsin Longitudinal Study (WLS), but supplemented by other survey and census data. The WLS has followed nearly 10,000 women and men for 36 years, from high school graduation to their early 50s; this cohort, born at the close of the Great Depression, represents a large share of the leading edge of the baby boom. The sample was followed up successfully in 1964, 1975, and 1992-93, and samples of siblings were interviewed in 1977 and in 1992/93. The research has four analytic goals: (1) To describe the life course of the cohort with respect to education, family formation, labor force experience, social and economic exchange relations, physical and psychological health and well-being, situating the cohort both historically and in relation to other relevant bodies of data, and providing a well-documented introduction to the data for internal and external users; (2) To extend the ages 53-54 a series of measurements and models of occupational standing and earnings of the members of this cohort that cover their younger years; (3) To extend these models to other outcomes of the stratification process, such as marital selection, job desirability, wage rates, net worth, and -- extending the analysis to the third generation -- the educational attainment and occupational standing of adult children; and (4) To extend and elaborate models of sibling resemblance in socioeconomic achievement that will elucidate influences of the family of origin, ability, and schooling on the life course. Throughout, the analyses will compare and contrast the origin and development of social and economic differences between women and men and among sisters and brothers. In addition, (5) the project will disseminate the WLS data and support analysis by other researchers.

PROJECT NUMBER.....5 R37 AG07637-09

INVESTIGATOR NAME/ADDRESS

HERMALIN, ALBERT I

POPULATION STUDIES CENTER

1225 SOUTH UNIVERSITY AVE

ANN ARBOR, MI 48104-2590

AWARD AMOUNT..... \$368,413

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: RAPID DEMOGRAPHIC CHANGE AND WELFARE

ABSTRACT:

The major objective of the proposed research is to provide a comprehensive and, comparative study of the elderly population. The six major areas of inquiry are: 1) current and future demographic significance of the elderly population; 2) the nature of and trends in the cultural, socio-economic, and governmental policies relevant to the elderly; 3) current position of the elderly defined in terms of social, economic, emotional and physical well-being and major differentials by sub-group; 4) the exchange systems affecting the nature and extent of support received by the elderly; 5) modifications of these systems in response to social and economic change; and 6) implications for policies and programs related to the provision of social and economic support of the aged.

These objectives will be pursued through a research design containing four interrelated approaches: a macro-analysis of the cultural, developmental, demographic, and governmental factors that affect the statuses and needs of the elderly, and the support systems with which they interact; micro-analyses of four large-scale surveys which obtained information on marital status, living arrangements, labor force participation, health status and health service utilization, economic well-being, and support from various sources; systematic qualitative data obtained via a series of focus group sessions in each country; structured workshops and research collaborations to enhance cross-cultural and comparative analysis.

The results of the study will add considerably to the knowledge of the health and well-being of the elderly in developing countries and to their needs for various types of services, and thus prove directly relevant for social policy and health planning.

PROJECT NUMBER.....1 R03 AG14550-01

INVESTIGATOR NAME/ADDRESS

HERMALIN, ALBERT I

UNIVERSITY OF MICHIGAN

1225 SOUTH UNIVERSITY AVE

ANN ARBOR, MI 48104-2590

AWARD AMOUNT..... \$74,403

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: SOCIAL ENVIRONMENT AND HEALTH AMONG OLDER CHINESE

ABSTRACT:

The proposed research aims to analyze the linkages between social environment-broadly defined- and health status. In particular, it will have the following specific aims.

1. To describe the social environment of the elderly in each society in terms of socioeconomic attributes (education, income, and occupation), degree of social integration (marital status, living arrangement, contact with children, friends, and social participation) and the quality of social support (emotional support, instrumental support, etc.), and the level of association of these dimensions with various measures of health status (chronic disorders, disability, subjective assessment).
2. To develop and test appropriate casual models which will capture the relative importance of the different components of the social environment on health, and to see if these components differ according to the dimensions of health in question.
3. To give particular attention to the effect of marriage on physiological responses among older persons, given previous research on the strong relation between this attribute and mortality and health. It will be possible to study the effect of marital dissolution (primarily through widowhood) on mortality and health transitions from panel data.
4. To compare the similarities and differences in the structure and magnitude of the relations between the social environment and health outcomes.

PROJECT NUMBER.....1 R01 AG14424-01

INVESTIGATOR NAME/ADDRESS

HIMES, CHRISTINE L  
SYRACUSE UNIVERSITY

AWARD AMOUNT..... \$80,374

426 EGGERS HALL  
SYRACUSE, NY 13244-1090

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE

TITLE: BODY SIZE AND DISABILITY AT OLDER AGES

ABSTRACT:

DESCRIPTION: An understanding of the relationship between functional ability and physiological characteristics among the elderly is key to future planning of the need for health services. One physiological measurement commonly available in national surveys and known to be correlated at younger ages with increased disability and mortality is the (BMI). High body mass indices have been associated with increased risk of a variety of diseases and functional limitations. At the same time, there is evidence that the average body size in the population is increasing -- a greater proportion of the population at all ages is now classified as obese.

This project will extend the current understanding of the relationship between body size and functional limitation by using two nationally representative, longitudinal data sets of individuals at very old ages; the Longitudinal Study of Aging (LSOA) and the Asset and Health Dynamics of the Oldest-Old (AHEAD). The project will examine questions about the current relationship between body size and disability at old ages -- are people at the extremes of body mass more disabled? to what extent and in what ways? The work will also investigate how socioeconomic characteristics, health behaviors, and disease interact with body size and functional limitation --is body mass an intermediate variable in the disablement process, or does it act directly? In addition, the investigators examine the effect of body mass on the progression of disability -- is the rate of functional decline with age faster among those with high BMI compared to others? how significant are changes in body mass for predicting functional limitation? Finally, the project will estimate the extent to which extreme body size affects active life expectancy.

PROJECT NUMBER.....5 K01 AG00554-05

INVESTIGATOR NAME/ADDRESS

HORIUCHI, SHIRO

ROCKEFELLER UNIVERSITY

1230 YORK AVE BOX 20

NEW YORK, NY 10021

AWARD AMOUNT..... \$108,173

PERFORMING ORGANIZATION: ROCKEFELLER UNIVERSITY

TITLE: RELATIONSHIPS BETWEEN AGING AND MORTALITY

ABSTRACT:

What are relationships among aging, disease and mortality? The investigation of this fundamental question is not limited to experimental and clinical studies but could be extended to demographic and epidemiologic research because age patterns of mortality, disability and mortality are expected to reflect underlying processes of senescence and disease development. The main tool for such analyses has been the plot of the death rate (disability rate, prevalence rate, or incidence rate) against age on the regular, semi-log or log-log graph sheets. Results by this "crude" procedure tend to suggest that age patterns of mortality are relatively stable and fitted well to such simple mathematical forms as the Gompertz, Makeham, and Weibull equations.

New methodologies are being developed that reflect age and cohort variations in mortality more sensitively than the conventional approach. Preliminary results using the new approach indicate that there are significant differences in age patterns of mortality among major causes of death, over time, between sexes, and among countries. These variations in age-related mortality increase suggest complicated interactions between aging processes and pathological, physiological, genetic, and life-style factors. Further investigation, however, requires strong background in biomedical sciences and applied mathematics as well as substantial experience in quantitative demography.

The purpose of this career development program is for the grant recipient (Shiro Horiuchi) to acquire more skills and knowledge in biomedical sciences and applied mathematics and to conduct the proposed study on aging and mortality. Major research issues include: age patterns of mortality for various causes of death; sex differentials, trends and international differences in the speed and acceleration of age-related mortality increase; statistical relationships of these age-variations, trends and differentials with those of risk factors; and biomedical mechanisms underling those patterns, trends, differentials and correlations. These problems will be investigated by (a) analyzing internationally compiled aggregate-level vital and surveys, (c) linking observed LAR patterns and variations with biomedical theories on aging and disease, and (d) developing mathematical models of relationships among aging, morbidity and mortality based on results of (a), (b) and (c).

PROJECT NUMBER.....1 F32 AG05787-01

INVESTIGATOR NAME/ADDRESS  
HUSSEY, JON M  
UNIVERSITY OF PENNSYLVANIA  
3718 LOCUST WALK  
PHILADELPHIA, PA 19104

AWARD AMOUNT..... \$29,600

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA  
TITLE: NEIGHBORHOOD EFFECTS ON ADULT MORTALITY

ABSTRACT:

The goal of this research is to examine how neighborhood characteristics affect individual's adult mortality risk. To address this question we will use a special version of the Panel Study Income Dynamics that appends census tract data to individual records. The four major aims of the study are:(1) evaluate the relationship between key neighborhood characteristics and adult mortality risk after adjusting for a comprehensive set of family and individual-level factors; (2) explore the possibility of cross-level interactions; (3) examine the relationship between adult mortality risk and both timing and duration of exposure to neighborhood conditions; and (4) assess the extent to which the large gap in African-American and white mortality rates is due to the different neighborhood disorganization, which in turn leads to a health-threatening environment. Taking advantage of the rich longitudinal data, we will use multivariate multilevel hazard modeling techniques to examine neighborhood, family, and individual-level effects on adult mortality.

PROJECT NUMBER.....1 R03 AG14886-01

INVESTIGATOR NAME/ADDRESS

KNODEL, JOHN E

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$73,157

1225 SOUTH UNIVERSITY AVENUE

ANN ARBOR, MI 48104-2590

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: THE ELDERLY IN A TIME OF CHANGE

ABSTRACT:

Repeated social upheavals as well as more orderly social, economic and political change all impact the current well-being of the elderly. Among the important influences are likely to be links to emigration of family members, especially children. The results should provide a basis to identify fruitful paths of future inquiry and sound public policies vis a vis the elderly. Our specific aims are:

1. To describe the current living, work, and retirement patterns among the elderly, their sources of social and financial support (family members, pensions), basic health status, daily activities, social networks, and attitudes.
2. To examine regional differentials in the current well-being of the elderly.
3. To consider how mortality and migratory patterns have affected the welfare of the elderly.



PROJECT NUMBER.....5 R29 AG10250-05

INVESTIGATOR NAME/ADDRESS

LA VEIST, THOMAS A  
JOHNS HOPKINS UNIVESITY  
624 NORTH BROADWAY  
BALTIMORE, MD 21205

AWARD AMOUNT..... \$123,588

PERFORMING ORGANIZATION: JOHNS HOPKINS UNIVERSITY

TITLE: NATIONAL AFRICAN-AMERICAN MORTALITY ANALYSIS

ABSTRACT:

The twentieth century has witnessed a great expansion in the upper limits of human life. At the turn of the century the average life expectancy at birth in the United States was only 47 years old. Since then average human life expectancy has risen to excess of seventy years old. And, it is now not unusual for humans to reach eighty years of age or older. However, black life expectancy has lagged behind white life expectancy for as many years as race specific records have been collected. In fact, in some recent years there have been declines in Black life expectancy. In spite of well documented findings of excess deaths in African Americans there is a paucity of knowledge regarding the behavioral and social determinants of longevity in Blacks or the existence of race differences in the effects of predictors of longevity. This proposal outlines a project to assess race differences in the effects of known longevity correlates in two national samples, the National Survey of Black Americans and the National Health Interview Survey, Supplement on Aging. There are three specific aims:

1. To track respondents and obtain data on twelve year survival patterns among the respondents from the 1979 National Survey of Black Americans (NSBA).
2. To examine race differences in the effects of social integration on mortality.
3. To examine race differences in the effects of socioeconomic status on mortality.

PROJECT NUMBER.....2 T32 AG00139-11

INVESTIGATOR NAME/ADDRESS

LAND, KENNETH C

DUKE UNIVERSITY

AWARD AMOUNT..... \$187,990

2117 CAMPUS DRIVE BOX 90408

DURHAM, NC 27708-0408

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: SOCIAL AND MEDICAL DEMOGRAPHY OF AGING

ABSTRACT:

The purpose of this predoctoral and postdoctoral training program is to provide rigorous training in the general fields of social and medical demography as they relate to vital issues in aging. A major focus is placed on substantive areas concerning a) the health and functioning of minority older persons, b) international studies of the health of older persons in developed and developing countries, c) the medical demography of the oldest old, and d) life course transitions (e.g., family changes, work, retirement, morbidity and disability) that relate to the health and well-being of aging persons. These are areas identified as key issues of aging research requiring a core of researchers with doctoral and postdoctoral training who are skilled in state-of-the-art analytic methods and population modeling. The training program is administered through the Center for Demographics Studies, an independent research and training program of the Department of Sociology, in which doctorates are AWARDED. The training takes place at the Center and the Department of Sociology and the facilities (library, computer, offices, etc.) and both sites are utilized by both predoctoral and postdoctoral trainees. Six predoctoral trainees will be appointed in each year with various background levels, but the intent is to provide opportunities for the training of graduate students committed to aging studies through the completion of their doctoral dissertations, normally four years entering students with B.A. degrees. Trainees must fulfill all theory and methods requirements of a Ph.D. in sociology and, in addition, complete the requirements of two of the appropriate departmental specializations (e.g., population studies, aging/life course). At the postdoctoral level, three appointments of persons with a Ph.D. or equivalent degrees will be made. These postdoctoral trainees will be recruited with varied levels of experience for two-year periods of training. They gain first-hand research experience under direct supervision of preceptors on major ongoing research projects. They also provide the opportunity of taking appropriate course in order to obtain advanced training knowledge in needed methodological and substantive areas. The program offers an ongoing seminar series that all trainees are expected to attend.

PROJECT NUMBER.....1 R03 AG14871-01

INVESTIGATOR NAME/ADDRESS

LAUDERDALE, DIANE  
UNIVERSITY OF CHICAGO  
5841 SOUTH MARYLAND  
CHICAGO, IL 60637

AWARD AMOUNT..... \$76,500

PERFORMING ORGANIZATION: UNIVERSITY OF CHICAGO

TITLE: MORTALITY AMONG ASIAN AMERICAN ELDERLY

ABSTRACT:

The Asian American population, including the elderly, is growing at a remarkable rate, primarily due to immigration. Current data suggest that this may be the longest lived population in the world. If these estimates are correct, this population should be an important consideration in theoretical work concerned with maximal longevity. However, there may be serious problems with death rates ( and life expectancies) derived from dual data sources for this population. In addition, the quality of age information is not known for the immigrant Asian population. Further, the aggregate Asian American and Pacific Islander race category is of such diversity, constantly changing in composition, that death rates for more precisely defined Asian ethnic groups would have clearer meaning. Should death rates truly be so low, an important question is whether they are largely attributable to a healthy immigrant effect.

This pilot study will establish the feasibility of a project which would ultimately answer three questions: 1. What are the death rates for specific elderly Asian American population? 2. Do death rates differ for specific Asian American groups by place of birth, that is U.S.-born versus foreign-born? 3. Is date of birth information reliable for foreign-born Asian American?

The pilot project includes these specific aims: a) Obtaining the Enrollment Database from the Health Care Financing Administration (HCFA) for elderly enrollees. b) The construction of name algorithms for identifying persons with specific Asian ancestries, using files available at the Social Security Administration. c) Obtaining initial counts of the number of persons identified by the name algorithms within the Enrollment Database.

PROJECT NUMBER.....5 R37 AG11761-04

INVESTIGATOR NAME/ADDRESS

LEE, RONALD D

UNIVERSITY OF CALIFORNIA

215 MOSES HALL

BERKELEY, CA 94720

AWARD AMOUNT..... \$208,489

PERFORMING ORGANIZATION: UNIVERSITY OF CALIFORNIA BERKELEY

TITLE: ECONOMIC DEMOGRAPHY OF INTER-AGE TRANSFERS

ABSTRACT:

Resources are reallocated across age and over time for many reasons, including the need to provide for childhood and old age; impatience to consume; the interest rate incentive for waiting to consume; the desire to leave bequests; the wish to hedge against risk; the desire to invest in children; the ability of parents to appropriate the labor services of their children; and the uncertainty of survival. Aggregate reallocations across age have never been studied in a comprehensive way, theoretically or empirically; this project aims to do so, building on work in mathematical demography, aging, economic demography, and overlapping generation models. The project will show that there are only four general types of age reallocation system, of which only three types appear important: capital accumulation, credit transactions, and interage transfers. Properties of each type of system will be studied. Each system generates average age specific wealth, the difference between the present value of expected future allocations into the system and receipts from it. However, when averaged over the population as a whole, aggregate credit must be zero, and the total societal demand for wealth,  $W$ , must be met by total holdings of capital,  $K$ , and transfer wealth,  $T$ . Each type of reallocation takes place through three channels: the family, the market, and the public sector. The project uses this framework to integrate selected themes in the literature including the demography of pension systems, overlapping generation models, economic-demography growth models with age structured populations, life cycle savings, bequest theories of savings, consequences of population aging, generational accounting, optimal population growth rates, public sector externalities to childbearing, and effects of demographic change on aggregate saving. Guided by the formal analysis, an accounting framework for measuring these interage allocations will be developed. It will be used to describe and summarize transfers, capital formation, and credit transactions through the family, the public sector and financial markets for the U.S. in various time periods, based mainly on the CES, and for several Third World populations, based on MFLS2 and Living Standards Surveys. Using a synthetic cohort method under steady state assumptions, these estimates reveal patterns of reallocation across ages; provide a decomposition of total age specific and societal wealth; provide comparative static estimates of the effects of population aging from low fertility or room low mortality; indicate whether the net direction of reallocations is upwards or downwards by age for  $W$  and each form of  $T$ ; and provide other descriptive measures of theoretical and policy interest. Dropping the steady state assumptions, additional empirical analyses develop longitudinal estimates of reallocations. Other work examines the consequences of dynamic (as opposed to comparative static) demographic change operating through the reallocation systems, and calculates probability distributions for the impact of future demographic change in the US on taxes or benefits for public sector transfers.

PROJECT NUMBER.....5 R01 AG01159-21

INVESTIGATOR NAME/ADDRESS

MANTON, KENNETH G

DUKE UNIVERSITY

AWARD AMOUNT..... \$190,848

2117 CAMPUS DR

DURHAM, NC 27708

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: DEMOGRAPHIC STUDY OF MULTIPLE CAUSES OF DEATH

ABSTRACT:

Our general aim is to examine determinants of multiply caused mortality in male and female cohorts using both demographic time series of multiple cause mortality data (from national vital statistics sources) and longitudinal population surveys of health, functioning, and mortality in the U.S. elderly and oldest-old populations. In examining sex differentials in mortality, we pay special attention to the oldest-old populations where females predominate. This is appropriate because females have about a 7-year greater life expectancy than males in the U.S. and much of the late age mortality may be due to disease and disability processes initiated post-menopausally, i.e., initiated at a later age than in males. In addition to examining the effects of standard physical risk factors on sex differences in mortality, we will examine the effect of income, education, and other social dimensions. We will be interested in determining what health and functional factors mediate the effect of income, education, and other social conditions on late age mortality. Finally, we will place considerable emphasis on examining the role of chronic functional impairments and disabilities in causing death. In several preliminary studies such functional impairments were a much stronger predictor of female mortality risks than standard risk factors. A class of functional impairments which will adopt special importance in the study is cognitive and related memory and sensory impairments and their sex specific effects on mortality. The study is well suited to examine these effects because a.) where dementia or Alzheimer's disease is reported on the death certificate, it is generally not the underlying cause (we are using multiple cause data), and b.) the National Long Term Care Survey (NLTCs) contains a number of measures describing cognitive, sensory, and behavioral problems for longitudinally followed individuals. The sample of persons with such problems in the NLTCs, due to the large number of oldest-old, is expected to be large enough (e.g., 600 to 700 cases in each sample year) for detailed multivariate analyses -- especially of females who will tend to predominate in the elderly sample.

The data to be employed will be U.S. multiple cause of death files for 1968 to 1990 (and later) and the 1982, 1984, 1989, and planned 1993 NLTCs with linked Medicare mortality and service use files. In the 1993 data, there will be a specialized supplement of persons 95 and older on which special studies of age reporting quality will be conducted. Additional use will be made of several other long term longitudinal studies such as the National Health Examination Surveys and their follow-up (i.e., NHANESI and the 10-year follow-up). Analyses will be conducted with multivariate procedures that are designed to simulate the physiological processes underlying health change and mortality in the U.S. elderly male and female populations. It is felt that to separate the effects of multiple physiological and functional measures that interact over time, multivariate time series modeling will be a necessity. As such the analyses will be cohort based with parameterization to detect specific period effects. Statistical tests will be conducted using likelihood ratio principles.

PROJECT NUMBER.....2 R37 AG07025-11

INVESTIGATOR NAME/ADDRESS

MANTON, KENNETH G

DUKE UNIVERSITY

AWARD AMOUNT..... \$246,787

2117 CAMPUS DR

DURHAM, NC 27708

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: FORECASTING LIFE AND ACTIVE LIFE EXPECTANCY

ABSTRACT:

DESCRIPTION: The U.S. elderly population is projected to grow significantly in the future, in part, due to increasing life expectancy at later ages, and in part, due to the passing of age 65, from 2011 to 2028, by the large cohorts born after WWII. The investigators will examine the effects of those cohorts and the cohorts born immediately before and after them, on Medicare and other projections of health service needs. The investigators will examine projections not only for the period when the cohorts first pass age 65 but also for subsequent periods during which they will age, have health needs increase, and then start to die more rapidly out of federal and other health programs. Thus, the investigators will examine health, and health service, projections, for the entire period 1997 to 2070 - a period that covers the range of most current health services projections. The investigators will evaluate the impact of improved education, income, and the different health experiences of post-WWII birth cohorts. This requires using biologically motivated population forecasting models developed earlier in this project to predict health service needs -- a natural extension of the models because they were designed to model health changes in elderly populations to improve mortality and population projections. This extension of their health forecasting models to project health service needs is important because current actuarial/demographic models of, e.g., the Medicare program a) treat health as a latent variable, and b) do not anticipate effects of new biomedical technologies and therapies of health service use. In evaluating forecasts of future health service needs the investigators will examine: a) mortality and life expectancy assumptions, b) projected changes in chronic disability and morbidity, c) effects of technological innovations on health trends, d) the relation of health changes to health care productivity, e) backward projections of current health service projections to examine health changes implicit in existing Medicare projections, f) implications for estimating program burden using different support ratios, g) effects of mortality changes on future age specific health needs and costs, and h) changes in types of services used.

PROJECT NUMBER.....5 R01 AG07469-10

INVESTIGATOR NAME/ADDRESS

MANTON, KENNETH G

DUKE UNIVERSITY

AWARD AMOUNT..... \$173,496

2117 CAMPUS DR

DURHAM, NC 27708

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: ACTIVE LIFE EXPECTANCY IN OLD AND OLDEST-OLD POPULATIONS

ABSTRACT:

We will analyze changes in chronic disability, institutionalization, and mortality using the National Long Term Care Surveys (NLTCs) and linked Medicare mortality and Medicaid files to evaluate active, and disabled life expectancy trends for age, gender, race, and cohort. We will examine how active life expectancy (ALE) changes correlate with mortality change by age, race, and sex and how degenerative conditions (e.g., osteoarthritis, osteoporosis (and hip and spinal fracture) cognitive loss, congestive heart failure, diabetes) affect ALE both in the total U.S. elderly population and by gender, age, and cohort. We will focus on the "oldest-old" (85+) who have the highest institutionalization and disability rates and who recently (1988-1991) showed large mortality declines (8.6%).

This research expands on findings about disability and ALE changes in the U.S. elderly and oldest-old populations made in the prior project term. Primary data are the 1982, 1984, 1989 and 1993 NLTCs and linked Medicare and Medicaid service records. We will examine the service implications of ALE using Medicare data linked to individual survey records for 1982 to 1992. This follow-up will be extended for the 1993 NLTCs as new Medicare data is available. We have complete mortality follow-up for all NLTCs samples (nondisabled as well as disabled and institutionalized persons) for 1982 to 1991. In addition, we linked persons to Medicaid service records in HCFA's Medicaid Statistical Information System for 1989 to 1991 for 26 states currently covered (coverage is being expanded).

To examine ALE one must examine multiple dimensions of disability and the severity of impairment on each. This is done with a procedure, the Grade of Membership (GoM) analysis, whose properties have been tested in multiple data sets. Using GoM we can identify multiple dimensions of disability, variation in their severity, and show their relation to a.) chronic degenerative conditions causing disability and b.) socio-economic status (e.g., income, education, marital status, living arrangements). Thus, our goal is to go beyond describing ALE to understanding the mechanisms causing it to change with age.

To evaluate the component processes of ALE change, cohort, marital status, and socio-economic characteristics are assessed. This is important because the cohorts now approaching age 65 have increasing socio-economic resources and education. This may have produced the decline in chronic disability prevalence observed between 1984 to 1989. Thus, we will not only describe ALE changes over time in the U.S. 65+ and 85+ populations, but identify and evaluate a.) processes governing disability change, b.) socio-economic and medical correlates of ALE and its change over time and age, and c.) effects of ALE changes on health service use (i.e., Medicare Part A, Part B; Medicaid; out-of-pocket; informal care use) and costs of illness.

PROJECT NUMBER.....5 R01 AG13254-02

INVESTIGATOR NAME/ADDRESS

MANTON, KENNETH G

DUKE UNIVERSITY

AWARD AMOUNT..... \$77,602

2117 CAMPUS DR

DURHAM, NC 27708

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: POPULATION EFFECT OF CHRONIC DISEASE AND MORTALITY

ABSTRACT:

DESCRIPTION: Chronic disease causes considerable functional impairment in the U.S. elderly population. Recent changes in mortality at late ages will interact with changes in chronic disease behavior to determine its effects on the U.S. elderly and oldest-old population and upon measures of life expectancy and active life expectancy in that population. To study how mortality, disability, and morbidity relations have changed in the U.S. elderly population, the investigators propose linking data on chronic diseases with a large population impact, like hip fracture and stroke, from the 1982, 1984, 1989, and 1994 National Long Term Care Surveys (NLTCS) to more detailed data on the disease in Medicare files and from a sample of medical charts. The gathering of the more detailed information will involve a follow-up survey of persons drawn from the NLTCS list sample in order to get permission for medical record abstractions. With that medical record data, the investigators can better assess the parameters of the disease's behavior in the population and how various types of intervention may affect its population frequency and duration in the elderly (65+) and oldest-old (85+) populations.

Once the data have been collected, analyses will be made using appropriate multivariate procedures to assess the physical status of persons with a specific disease. The procedure will generate health and functional scores that will be used to a.) make cost estimates of the diseased of the U.S. elderly, Medicare eligible population (specific to type of service), b.) evaluate the cost effectiveness of several types of interventions in controlling or managing the disease, c.) project future costs of illness for the specific disease, and d.) simulate the implications of the significant intervention efforts identified in the cost effectiveness studies.



PROJECT NUMBER.....2 R44 AG13575-02

INVESTIGATOR NAME/ADDRESS

MC KUSICK, DAVID

ACTUARIAL RESEARCH CORP

AWARD AMOUNT..... \$347,430

6928 LITTLE RIVER TPKE

ANNANDALE, VA 22003

PERFORMING ORGANIZATION: ACTUARIAL RESEARCH CORPORATION

TITLE: LONG RANGE POPULATION PROJECTION BY DISABILITY STATUS II

ABSTRACT:

This is a proposal to construct a personal computer software package that would produce long range population forecasts in the form of person level files. The package would include base year populations for each of the states and the U.S. It would also provide default projections tied closely to the forecasts of federal agencies, or allow the analyst to substitute customized alternatives. The package is intended to provide the technical analyst a tool to prepare multiple forecasts of a state or region with modest investment of time and expense.

The person level files would consist of a non institutionalized, non disabled population, a non institutionalized disabled population and a population in long term medical care facilities. This would be assembled by statistically matching public use files. The files would include economic and demographic characteristics of the population with an emphasis on demand for long term care services and the capacity to finance these services through personal resources or public financing. The model would compete as a simpler (and less ambitious) alternative to existing products.

The manual to accompany the software would provide a detailed guide for preparing historical studies from published data to implement a demographic-economic forecast.

PROPOSED COMMERCIAL APPLICATION: This projection software would be marketed to professionals working in demographic applications including insurance companies, state Medicaid agencies, long term care providers, and consultants. The accompanying handbook is expected to have a wider independent audience including researchers and students.

PROJECT NUMBER.....7 R29 AG10170-05

INVESTIGATOR NAME/ADDRESS  
MENDES DE LEON, CARLOS F  
RUSH-PRESBYTERIAN-ST LUKE'S

ME

AWARD AMOUNT..... \$102,008

1653 WEST CONGRESS PARKWAY  
CHICAGO, IL 60612

PERFORMING ORGANIZATION: RUSH-PRESBYTERIAN-ST LUKES MEDICAL CTR  
TITLE: RACE, SOCIAL FACTORS AND COURSE OF DISABILITY

ABSTRACT:

The proposed research is a longitudinal epidemiological study of the influence of race and social factors on functional disability in community-residing elderly persons. It will examine whether: a) Blacks are at higher risk of decline in functioning than Whites, b) whether socioeconomic factors, such as income and education, and prevalent and incident chronic illness account for the differences, and c) whether the risk of disability among Blacks changes after the age of 75 or 85. In addition, the research will examine social factors in relation to disability, in particular social network and social support, hypothesizing that elderly persons with fewer social ties and less support are at higher risk of functional disability. Also, the combined effect of race and social network and support on disability will be tested, addressing whether the lack of network ties and social support increase the risk of functional decline more so among elderly Blacks than Whites. Data for the research come from two multiwave panel studies of representative community-samples of adults aged 65 and over in New Haven and North Carolina, which are two sites of the NIA funded EPESE Project. Each study consisted of a baseline interview and annual reinterviews, with repeated comprehensive assessments of functional disability and major chronic illnesses. Katz' Activities of Daily Living index, which is a measure of self-care activities (e.g. grooming and eating), will serve as main outcome variable. Information on other aspects of functioning is available as well, such as gross mobility (e.g. walking 1/2 mile), physical performances (e.g. kneeling, extending arms above shoulder), and daily activities other than self-care (e.g. cooking, shopping). This information will be used in some analyses to study course of disability in more detail. Two outcomes will be identified: onset and course of disability. Onset will be defined as development of nonreversing disability in self-care functions among those free of disability at baseline. Course of disability will be defined on the basis of changes in disability during follow-up for the entire cohorts, and will not be limited to nonreversing disability. The research will employ standard epidemiologic analytic techniques, such as logistic regression and proportional hazards models. For some analyses, grade-of-membership analysis will be employed, which is a statistical technique that is especially appropriate for the classification and analysis of health characteristics in heterogeneous populations.

PROJECT NUMBER.....2 T32 AG00177-09

INVESTIGATOR NAME/ADDRESS  
PRESTON, SAMUEL H  
UNIVERSITY OF PENNSYLVANIA  
3718 LOCUST WK/239 MC NEIL  
PHILDELPHIA, PA 19104-6298

AWARD AMOUNT..... \$118,788

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA  
TITLE: DEMOGRAPHY OF AGING

ABSTRACT:

This application requests continued funding for a training program in the demography of aging at the University of Pennsylvania. Support is requested for three predoctoral students and one postdoctoral student. The program will be administered by an Aging Advisory Committee in the Population Studies Center. Predoctoral students will be drawn principally from the Graduate Group in Demography but may also have matriculated in Sociology or Economics. The goal of the training program is to train independent, professional demographers that will make a steady stream of research contributions in the demography of aging.

The predoctoral program seeks to achieve this goal through intensive classroom instruction in the methods, theoretical approaches, and empirical substance of demography, and through progressive incorporation of students into independent research on aging. Trainees are expected to write a second-year paper and a dissertation in the field of aging. The University of Pennsylvania has a strong group of applicants and current students who could profit from the training program.

Postdoctoral students pursue independent research projects and become affiliated with faculty research projects in aging. They also are expected to prepare a grant application in the field as a valuable experience in identifying research topics and methods and data for addressing them.

An NIA training program in the demography of aging has been in place for seven years. Students who have been part of the program have a good record of publication, placements, and awards.

PROJECT NUMBER.....4 R37 AG10168-06

INVESTIGATOR NAME/ADDRESS  
PRESTON, SAMUEL H  
UNIVERSITY OF PENNSYLVANIA  
3718 LOCUST WK/239 MC NEIL  
PHILDELPHIA, PA 19104-6298

AWARD AMOUNT..... \$356,871

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA  
TITLE: AFRICAN-AMERICAN MORTALITY, 1930-1990

ABSTRACT:

This study seeks to improve estimates of mortality for the African-American population over the period from 1930 to 1990. A central focus is an assessment of the quality of age reporting for black decedents in the 1980s. This assessment will involve direct matching of death certificates for persons reported as dying above age 60 against records for these same individuals in the U.S. Censuses of 1900, 1910, and 1920, and against records of the Social Security Administration. For a sample of persons born in Maryland, the study will also match death certificates against their birth certificates. Based upon these matching studies, corrected distributions of ages at death over the period 1930-1990 will be produced.

Using a variety of demographic estimation techniques, data from the matching studies and other data will be converted into improved estimates of black mortality. The methods include intercensal comparisons of cohort size; extinct generation methods; a procedure for producing life tables directly from a distribution of ages at deaths and age-specific growth rates; and a comprehensive method that integrates multiple observations on cohort size from censuses and vital registration into a final estimate of mortality and population. A by-product of this latter method will be new estimates of census completeness. Cause-of-death life tables will also be produced for the African-American population during the 1980-1990 period.

PROJECT NUMBER.....1 R29 AG14027-01

INVESTIGATOR NAME/ADDRESS  
PROMISLOW, DANIEL E  
UNIVERSITY OF GEORGIA

AWARD AMOUNT..... \$101,361

ATHENS, GA 30602-7223

PERFORMING ORGANIZATION: UNIVERSITY OF GEORGIA

TITLE: DEMOGRAPHY OF AGING--GENETIC AND COMPARATIVE ANALYSES

ABSTRACT:

Recent studies have used large-scale demographic experiments to study the genetic basis of aging. Results from these studies have fundamentally altered our basic assumptions about the patterns and causes of aging. These studies have also established the superb value of *Drosophila* as a model system for evaluating how and why rates of aging vary within and among species, and they highlight the importance of integrating careful demographic experiments with both genetic and phylogenetic techniques. The proposed work will build upon and extend these provocative findings in three areas. First, quantitative genetic approaches will be used to determine how reproduction influences measures of the genetic basis of aging. By studying how genes affect demographic parameters throughout the life course, we can help determine the opportunity for altering these parameter through genetic manipulations. Including the effects of reproduction in this study is of central importance because reproduction can dramatically alter mortality rates at all ages, is it is crucial to distinguish genetic effects on reproduction from direct genetic effects on mortality. Second, current models of aging assume the existence of mutations whose effects on demographic parameters are age-specific. This fundamental assumption will be tested using a mutation-accumulation study capable of determining whether novel mutations do, in fact, show age-specific effects. Such information will not only help to construct biologically realistic models of aging, but it may also shed light on how patterns of aging in humans will change in the future. Third, demographic traits among species will be compared to determine whether results from one species can reasonably be applied to unrelated species. Comparative results will determine the general validity of models of aging, and test for the existence of constraints on how mortality patterns can change over time.

The results of these studies will help us to understand not only how existing genetic variation shapes patterns of aging, but also how continual input of new mutations is likely to affect mortality or fertility at different ages. The cross-species analyses will provide crucial information needed to determine how well we can extrapolate results from single-species studies to more distantly related species. Taken together, these results will further our understanding of the causes and consequences of aging, and of the potential to use genetic techniques to alter patterns of aging in human populations.

PROJECT NUMBER.....5 K01 AG00565-05

INVESTIGATOR NAME/ADDRESS  
RAHMAN, MOHAMMED O  
HARVARD SCHOOL OF PUBLIC  
HEALTH  
665 HUNTINGTON AVENUE  
BOSTON, MA 02115

AWARD AMOUNT..... \$100,381

PERFORMING ORGANIZATION: HARVARD UNIVERSITY  
TITLE: IMPACT OF KIN NETWORKS

ABSTRACT:

There is increasing evidence from western, developed societies that the social environment and in particular kin networks have a profound impact on the health and survival of the elderly. However there is remarkably little information on these issues in the context of rural developing societies. This 5-year award proposal describes a program of research which will collect and study high quality data from the Matlab Surveillance System (recently supplemented by new data collection) to examine how family members both within and outside the household affect the survival, health status, health services utilization, levels of support and living arrangements of the elderly in developing countries, focusing particularly on differences by socio-demographic characteristics of both the elderly and their kin.

PROJECT NUMBER.....1 R55 AG12741-01A1

INVESTIGATOR NAME/ADDRESS

RILEY, JAMES C

INDIANA UNIVERSITY

AWARD AMOUNT..... \$100,000

POPLARS 738

BLOOMINGTON, IN 47405

PERFORMING ORGANIZATION: INDIANA UNIVERSITY BLOOMINGTON

TITLE: TESTING INSULT ACCUMULATION WITH COMPETING MODELS

ABSTRACT:

THIS IS A SHANNON AWARD PROVIDING PARTIAL SUPPORT FOR THE RESEARCH PROJECTS THAT FALL SHORT OF THE ASSIGNED INSTITUTE'S FUNDING RANGE BUT ARE IN THE MARGIN OF EXCELLENCE. THE SHANNONAWARD IS INTENDED TO PROVIDE SUPPORT TO TEST THE FEASIBILITY OF THE APPROACH; DEVELOP FURTHER TESTS AND REFINE RESEARCH TECHNIQUES; PERFORM SECONDARY ANALYSIS OR AVAILABLE DATA SETS; OR CONDUCT DISCRETE PROJECTS THAT CAN DEMONSTRATE THE PI'S RESEARCH CAPABILITIES OR LEND ADDITIONAL WEIGHT TO AN ALREADY MERITORIOUS APPLICATION. THE ABSTRACT BELOW IS TAKEN FROM THE ORIGINAL DOCUMENT SUBMITTED BY THE PRINCIPAL INVESTIGATOR.

DESCRIPTION: The proposed research will compare the effects of two models by which health experience in early adulthood is believed to influence later health and the timing of death. In the natural history of disease model, the expectation is that specific diseases predict subsequent health problems. In the generalized insult accumulation model, the expectation is that diseases and injuries in general qualify as insults that influence later health problems. These models will be compared using data on 1451 men and women who belonged to friendly societies in Australia in the period 1893-1974.

PROJECT NUMBER.....1 R03 AG14204-01

INVESTIGATOR NAME/ADDRESS

ROACH, DEBORAH A

DUKE UNIVESITY

AWARD AMOUNT..... \$72,127

BOX 90323

DURHAM, NC 27708-0323

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: OLDEST OLD MORTALITY IN NATURE--BIODEMOGRAPHIC ANALYSES

ABSTRACT:

Recent experimental work supported by NIA, suggests that there may be a deceleration of mortality rates at the oldest ages. This deceleration has been found in four species, humans, medflies, *Drosophila*, and nematodes, yet the breadth of these demographic patterns is not known. The major aim of this research proposal will be to determine if mortality deceleration of the oldest-old is found in populations in nature. Biodemographic studies of aging up until now have used laboratory conditions. This will be the first study to compare the demography of a species under both natural and laboratory conditions. This project will test the genetic basis of age-specific mortality rates in order to determine whether and how much genotypes differ in their mortality trajectories and lifespan within natural populations. It will also test a major assumption of the current evolutionary theories of senescence, that the strength of selection on age-specific survival and fecundity declines with age. Because field experiments with animals are difficult, this study will use plant species in a natural environment, to determine whether senescence and mortality deceleration occur in natural populations. This is a pilot project designed to be the first step in a larger research program which will be submitted as a supplement to the NIA-funded Program Project entitled "Oldest-old mortality - Demographic models and analysis" (PO1 AG08761, James Vaupel, Principal Investigator).



PROJECT NUMBER.....1 R13 AG15074-01

INVESTIGATOR NAME/ADDRESS

ROGERS, ANDREI

UNIVERSITY OF COLORADO

AWARD AMOUNT..... \$19,900

CAMPUS BOX 484

BOULDER, CO 80309-0484

PERFORMING ORGANIZATION: UNIVERSITY OF COLORADO AT BOULDER

TITLE: THIRD COLORADO CONFERENCE ON ELDERLY MIGRATION

ABSTRACT:

DESCRIPTION (adapted from the application): This conference on elderly migration and settlement is the third in a series convened to bring together in Colorado an international network of collaborating scholars to broaden an understanding of the changing population geography of the elderly in modern developed societies. The first such conference was held in 1986, the second in 1991, the third, it is hoped, will be convened in 1997. The central focus of the third conference will be the impact of immigration on the internal migration and national redistribution patterns of the elderly population. The countries to be represented at the proposed conference are: Australia, Canada, Italy, the United Kingdom, and the United States.

PROJECT NUMBER.....1 R55 AG14872-01

INVESTIGATOR NAME/ADDRESS

SANDEFUR, GARY D

UNIVERSITY OF WISCONSIN

1180 OBSERVATORY DRIVE

MADISON, WI 53706-1393

AWARD AMOUNT..... \$50,000

PERFORMING ORGANIZATION: UNIVERSITY OF WISCONSIN MADISON

TITLE: WORK, FAMILY, AND HEALTH--PRELIMINARY ANALYSES

ABSTRACT:

This pilot project uses data from the Wisconsin Longitudinal Survey (WLS) and the Health and Retirement Survey (HRS) to examine the relationships between work, family, and social support, and health. Most of the work in the pilot project will use the WLS, but the project will carry out some preliminary analyses with the HRS. The project has two specific aims. First, the project will examine the effect of work and family experiences over the life course on the amount of social support available to individuals as they approach retirement. Although the domain of work affects material and social support networks in many ways, the pilot project will focus on two of these--the connection between work and geographical mobility, and the perceived conflict between work and family. Geographical mobility is sometimes necessary to seek employment or as part of career advancement, and it can disrupt the networks of family and friends that provide social support. Conflicts between family and work commitments may also influence the social support available to an individual. Work can provide forms of social support, but it can also impede the development of strong family relationships, just as family commitments can limit one's commitment to, an involvement in, work. The major features of family experiences that the pilot project will focus on are family disruptions during childhood or as an adult. Family disruptions may not only influence an individuals' relationships with his or her former spouse, but also with his or her parents, siblings, and/or children. The disruption of an individual's family of origin, for example may affect his or her relationships with siblings as well as parents. A disruption of an individual's family of procreation may affect his or her relationships with children. Thus, individuals with differing experiences of family stability may have different kinds of family social support networks. The second aims of the project is to look at the effects of work, family, and social support on health. Most previous research on the relationship between social support and health has relied on fairly simple measures of social support, and has not examined the variety of information on social support that is available in the WLS and the HRS. Although the WLS and HRS data contain a number of measures of health, the pilot project will focus primarily on one of these, a widely used measure of self-reported health.

PROJECT NUMBER.....2 T32 AG00237-04

INVESTIGATOR NAME/ADDRESS

SCHOEN, ROBERT

JOHNS HOPKINS UNIVERSITY

615 NORTH WOLFE STREET

BALTIMORE, MD 21205

AWARD AMOUNT..... \$60,454

PERFORMING ORGANIZATION: JOHNS HOPKINS UNIVERSITY

TITLE: POSTDOCTORAL TRAINING IN THE DEMOGRAPHY OF AGING

ABSTRACT:

This proposal requests Institutional Research Training Grant support to continue a program of postdoctoral training in the demography of aging currently being provided under a Complementary Training Award. Funding for 2 postdoctoral positions, the present number, is requested.

The training program will be conducted under the auspices of the Department of Population Dynamics. The multidisciplinary training faculty is composed of teaching faculty in the Department and Associates of the Hopkins Center on the Demography of Aging (HCDA), a university-wide NIA supported Exploratory Center on the Demography of Aging administratively located in the Department of Population Dynamics. The training program facilitates the transition from graduate student to functioning academic, rapidly incorporating the trainee into the active research and intellectual life of the Department and the HCDA..

PROJECT NUMBER.....5 R13 AG13888-02

INVESTIGATOR NAME/ADDRESS

SCHOENI, ROBERT F

RAND

AWARD AMOUNT..... \$43,110

1700 MAIN ST /PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: SUMMER INSTITUTE OF AGING STUDIES

ABSTRACT:

We seek support to continue the National Institute on Aging (NIA) Summer Institute on the Demography, Economics, and Epidemiology of Aging for another three years: 1996, 1997, and 1998. The Institute, which was held at the RAND offices in Santa Monica, California in 1994 and 1995 has been an overwhelming success, as indicated by the large number of applications and the participants' evaluations.

The goal of the NIA Summer Institute has been, and will continue to be, two-fold:

- \* Presentation and discussion of cutting-edge research, and
- \* Training and development of scholars entering the field.

The Institute uses master lectures, research presentations, and other discussion formats to disseminate information and stimulate debate on topics critical to the study of aging. In addition, the Institute has sought to enhance the training of scholars who are new to research on aging. The relative paucity of training programs in aging studies, particularly in the fields of demography and economics, makes the Institute's second objective crucial. NIA-sponsored programs for developing the next generation of scholars are fairly recent, and these programs are concentrated in about a dozen graduate schools. Because each university has a particular focus, trainees are not always exposed to the full range of research on aging. Or if they are exposed, they do not have the chance to interact with the leading experts in all areas. Most of the scholars who are new to aging are post-doctoral trainees and junior faculty members at universities, many of whom have benefited from NIA fellowships. Other attendees are NIA pre-doctoral fellows and senior faculty entering the field of aging. It is our mission to expose these emerging aging researchers to the scientific frontier in a wide variety of areas in the study of aging.

If AWARDED, the conference grant would support the participation of nine lecturers and 18 trainees in each year. Another 33 participants would be invited under their own funding, except for common meals. The AWARD would support the time for Lee Lillard, Bob Schoeni, and a secretary to organize the Institute each year as well as costs such as photocopying research papers and postage. A seven-person Advisory Committee consisting of top aging scholars from various disciplines would design the program each year.

PROJECT NUMBER.....2 R44 AG12308-02A2

INVESTIGATOR NAME/ADDRESS

SCHWARTZ, MARK H

MANDALA SCIENCES

AWARD AMOUNT..... \$377,142

4089 ABERDEEN COURT

ORCHARD LAKE, MI 48323

PERFORMING ORGANIZATION: MANDALA SCIENCES

TITLE: COMPUTER TOOLS FOR OUTCOMES ANALYSIS OF HIP REPLACEMENT

ABSTRACT:

Mandala Sciences (MSI) CODA project has 2 main objectives: (1) develop analysis tools to test hypotheses regarding effectiveness of surgical procedures and patient outcomes and (2) generate proprietary decision support prediction models for hip and knee replacements. MSI hybrid Neural Network/Expert System methodology uses an Entropy NN TM structure which has the innovative ability to generate a rule base. The discovered rules will be used to create "portable" Expert System predictive modules. Phase II progress is built upon successful MSI collaboration with Henry Ford Health System to show NN techniques can generate and evaluate prognostic models using outcomes data. Consultation with orthopedic surgeons identified 13 patient-provided variables as potential predictors of hip replacement surgery failure. An NN trained on these data predicted the 1-year post-surgical change in the patient's self-assessed pain and physical function scores. Comparison with standard statistical analysis techniques showed superior accuracy of NN-based predictions. Phase II research will generalize the product by adopting the ASTM-E-1238 interface standard for data collection from multiple sources. NN/Expert prediction models will be improved by pooling data from geographically diverse sites and field trial performance to evaluate physician-rated adoption, usefulness, and influence on their actual decision making.

Proposed commercial applications:

MSI will build a user-friendly, stand-alone outcomes database analysis tool. By using new proprietary neural network techniques, the system will have the predictive power of NN combined with the explanatory capabilities of an expert system. This computer system will be adopted by the widest possible audience because it will be far easier to use than conventional statistical packages, and by virtue of being designed for compatibility with the ASTM-E-1238 standard for outcomes data transmission.

PROJECT NUMBER.....5 R01 AG13478-02

INVESTIGATOR NAME/ADDRESS

SMITH, KEN R

UNIVERSITY OF UTAH

AWARD AMOUNT..... \$260,832

228 EMERY BUILDING

SALT LAKE CITY, UT 84112

PERFORMING ORGANIZATION: UNIVERSITY OF UTAH

TITLE: KINSHIP AND SOCIO-DEMOGRAPHIC DETERMINANTS OF MORTALITY

ABSTRACT:

DESCRIPTION: This study will examine how characteristics of an individual's kinship network and socio-demographic status affect the hazard rate from all-cause and cause-specific mortality in a defined population born after 1860 and if deceased, died between 1860-1995. Using a large genealogical file in the Utah Population Database containing data on approximately 170,000 families and over one million individuals, the proposed research will focus on the family dimensions of mortality. To accomplish the proposed aims, the set of Utah death certificates within the Utah Population Database will be expanded to include about 500,000 death records that cover the period 1904-1995.

PROJECT NUMBER.....1 R03 AG15213-01

INVESTIGATOR NAME/ADDRESS

SOLDO, BETH J

GEORGETOWN UNIVERSITY

AWARD AMOUNT..... \$77,697

BOX 571214

WASHINGTON, DC 20057-1214

PERFORMING ORGANIZATION: GEORGETOWN UNIVERSITY

TITLE: CHILDLESSNESS, WEALTH AND TRANSFERS IN MIDLIFE AND OLD AGE

ABSTRACT:

Although the baby-boom cohorts are projected to have rates of childlessness which will rival those of women who had their children during the Depression, few studies have systematically examined the family structure, asset accumulation and decumulation, resource flows or care patterns of nulliparous persons from mid-life through old age. The overall goal of the proposed pilot project is to examine how childlessness impinges on the life course trajectory of those who have now completed their childbearing. The specific aims of the proposed pilot study are to: describe and model differentials in asset accumulation among nulliparous persons and parents of various parities in mid-life and old age; examine how the selectivity of childlessness favors asset accumulation while parenting favors human capital investments at the expense of asset accumulation; consider if the childless sib(s) within a family are more likely to make financial or time transfers to their elderly parents than the sibs who are themselves parents and the extent to which parental transfers offset potential savings from foregone child rearing; compare the density, type (e.g., inclusion of paid helpers) and durability of the care giving networks organized by functional dependent elderly with and without children; and examine if childless elderly persons bind and obligate distant kin or non-relatives through interviews giving and/or potential bequests.

Data for these analyses will be drawn from waves 1-3 of the health and Retirement Study (HRS) and waves 1-2 of the Study of Asset and health dynamics (AHEAD) of the oldest-old.

PROJECT NUMBER.....1 R55 AG13986-01

INVESTIGATOR NAME/ADDRESS

STALLARD, P J

DUKE UNIVERSITY

AWARD AMOUNT..... \$100,000

2117 CAMPUS DR

DURHAM, NC 27708

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: FORECASTING MODELS FOR ACUTE AND LONG TERM CARE

ABSTRACT:

THIS IS A SHANNONAWARD PROVIDING PARTIAL SUPPORT FOR THE RESEARCH PROJECTS THAT FALL SHORT OF THE ASSIGNED INSTITUTE'S FUNDING RANGE BUT ARE IN THE MARGIN OF EXCELLENCE. THE SHANNONAWARD IS INTENDED TO PROVIDE SUPPORT TO TEST THE FEASIBILITY OF THE APPROACH; DEVELOP FURTHER TESTS AND REFINE RESEARCH TECHNIQUES; PERFORM SECONDARY ANALYSIS OR AVAILABLE DATA SETS; OR CONDUCT DISCRETE PROJECTS THAT CAN DEMONSTRATE THE PI'S RESEARCH CAPABILITIES OR LEND ADDITIONAL WEIGHT TO AN ALREADY MERITORIOUS APPLICATION. THE ABSTRACT BELOW IS TAKEN FROM THE ORIGINAL DOCUMENT SUBMITTED BY THE PRINCIPAL INVESTIGATOR.

DESCRIPTION: This application aims at the creation of yearly projections of elderly persons in the United States by age, sex, chronic physical and cognitive disability intensities and durations and levels of use of acute and long-term care services. Transition rates will be based on a variety of national surveys, including the National Long-Term Care Survey (NLTCs) (1982,84,89, and 94), the Medicare Current Beneficiary Survey (1991 and later) and the National Longitudinal Study of Aging. Data on non-elderly populations will come from the Survey of Income and Program Participation (1984 and 1990 supplements on disability) and other sources. The starting state for the projections will be based on Public Use Microdata Sample files from the 1990 Census, which will also supply some targets for validation exercises.

Six types of models or forecasting techniques will be used for projections of increasing structural complexity. These are described on pages 41 to 43. They are: 1) Application of cross-sectional prevalence rates to existing official population projections for the U.S. Census Bureau and Social Security Administration. 2) Cohort component Markov chain projections with unchanging transition rates defined for a small number of disability states. 3) Cohort component Markov projections with parameterized multiplicative Poisson submodels, smoothed by empirical Bayes mixing. 4) A Grade of Membership Model extension of the projections under Model 3, which involves a complex form of pooling and remixing of transition matrices (still, apparently, constant over time). 5) Two-component stochastic process projection models for GoM scores for individuals. 6) A trajectory model that replaces the GoM score with an age and sex specific matrix multiplying a time-invariant individual-specific trajectory model.



PROJECT NUMBER.....1 R03 AG14813-01

INVESTIGATOR NAME/ADDRESS

SWALLEN, KAREN C

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$21,081

P O BOX 1248

ANN ARBOR, MI 48106-1248

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: HEALTH, WEALTH AND WORK--IMMIGRANTS IN THE US

ABSTRACT:

The goal of this project is to explore the relationship between health, wealth, and work for elderly persons in the United States, comparing native-born and foreign-born persons. The foreign-born population is one of the least well studied groups in the United States. Preliminary analyses have addressed broad mortality differences between the foreign-born and US-born populations (Kestenbaum, 1986; Swallen, 1996a), and more detail has been presented for infant mortality rates among Hispanic immigrants (Guendelman, et al., 1990; Collins and Shay, 1994; Guendelman and English, 1995), but there has been little effort to describe the health of the foreign-born group. Information on morbidity and mortality that is available often is not detailed enough to be informative. Not all immigrants are alike; this research will divide immigrants into groups based on age at first entry to the United States and race or ethnic group. The health differences between these immigrant and native-born groups will be described. The descriptive analysis will examine the varying influences of socioeconomic factors, health behaviors, and demographic factors. In addition, this research will expand on previous research by this PI by considering the influence of occupation on health. Previous work has indicated that immigrants have different mortality and morbidity patterns at old age, depending on their age at time of immigration. This research will explore a slightly younger group of immigrants and see if the differential health patterns are also present for them. In addition, past research did not examine detailed socioeconomic and occupational differences. Multivariate regression models will be created to assess the relationship between the outcomes of interest and the variables tested. Finally, the potential of differential reporting of health between immigrants and US-born persons will be addressed. Previous research has indicated that elderly Americans experience the lowest mortality and morbidity of any country in the world (Manton and Vaupel, 1995). The authors attribute the advantage to greater access to health care in the United States. This proposal is designed to begin to address another potential explanation; the inclusion of large numbers of healthy, self-selected immigrants in the American population may be related to the good health that elderly Americans experience. The research proposed here is designed to lead to the application for a FIRST or R01 grant for the principal investigator.

PROJECT NUMBER.....2 T32 AG00221-06

INVESTIGATOR NAME/ADDRESS  
THORNTON, ARLAND D  
UNIVERSITY OF MICHIGAN  
1225 SOUTH UNIVERSITY AVE  
ANN ARBOR, MI 48104-2590

AWARD AMOUNT..... \$295,461

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR  
TITLE: TRAINING IN THE DEMOGRAPHY AND ECONOMICS OF AGING

ABSTRACT:

The proposed training program will provide specialized competence in the demography and economics of aging to selected predoctoral and postdoctoral students. The training faculty consists of 37 members, affiliated primarily with the Departments of Sociology, Economics, and the Institute for Social Research. This is a substantial expansion of the number of faculty participating in the program. This expansion of the capabilities of the training faculty has been especially dramatic in economics, which has caused us to expand the program from the demography of aging to the demography of economics of aging. Predoctoral training involves mastery of the techniques and substantive literature necessary to understand population processes and their relationship to aging. Embedded in the disciplines of sociology and economics, it is achieved through a combination of formal course work, informal seminars, and a well-developed research apprenticeship program. Postdoctoral training is coordinated with a faculty mentor, and includes course work, seminars and collaborative or independent research. Training is enhanced by contact with other strong programs at the University of Michigan, including the Institute of Gerontology, School of Public Health, School of Social Work, and ICPSR Summer Institute in Quantitative Methods.

This proposal seeks annual support for 6 predoctoral and 4 postdoctoral trainees. Predoctoral trainees are recruited from applicants to, and students in, the Ph.D. programs of the Departments of Sociology and Economics. Selection is based on intellectual promise and commitment to demography of aging. Postdoctoral trainees are recruited directly by national search and/or the recommendation of colleagues in other predoctoral training programs. Trainees completing our program typically pursue careers in demographic research, either at universities and colleges, or in government or private agencies.

The primary training facility is the Populations Studies Center, with training also occurring at the Institute Social Research. The Center occupies 12,000 sq.ft. of rental space at the edge of the Central Campus. Facilities include office space for trainers and all predoctoral and postdoctoral trainees, conference rooms, data processing center, data archive and specialized population library. The support staff includes computer programmers, data archivist, librarian, editor, secretaries and administrative assistants.

PROJECT NUMBER.....5 R44 AG11315-03

INVESTIGATOR NAME/ADDRESS  
TORDELLA, STEPHEN J  
DECISION DEMOGRAPHICS

AWARD AMOUNT..... \$237,241

ARLINGTON VA 22204

PERFORMING ORGANIZATION: DECISION DEMOGRAPHICS  
TITLE: OLDER AMERICANS MARKET--FORCASTS FOR US COUNTIES

ABSTRACT:

DESCRIPTION: This project will create, for the first time, a comprehensive set of long-term forecasts for older Americans in all United States counties. The basic data will be demographic; age by sex information extending through age 85 and over. The extended contextual data will cover living arrangements, race, income, poverty, and home ownership by age. The older population is quite heterogeneous at the national level, and even more so at the local level. After a period of rapid growth in the recent past, the future portends increasing racial, ethnic, and socioeconomic diversity as well as increases in the oldest old. Their needs and preferences for commercial products and government services reflect that diversity. Future trends will therefore not simply repeat the recent past, and policy makers interviewed during Phase I of this project expressed strong need for forecast data. A unique and innovative alliance of basic and applied research will be brought to bear on these forecasts by the Decision Demographics and University of Wisconsin team. The result will be the creation of the first nationally-consistent set of age-sex forecasts for counties that also includes the characteristics data that will help business and government cater to the unique and changing needs of older Americans.

PROJECT NUMBER.....1 R43 AG14596-01

INVESTIGATOR NAME/ADDRESS

TORDELLA, STEPHEN J  
DECISION DEMOGRAPHICS  
5510 COLUMBIA PIKE  
ARLINGTON, VA 22204

AWARD AMOUNT..... \$99,984

PERFORMING ORGANIZATION: DECISION DEMOGRAPHICS

TITLE: MATURE MARKET PROFILER--A NATIONAL AND LOCAL SYSTEM

ABSTRACT:

Older Americans represent a massive consumer market that is just beginning to be served effectively. The Mature Market Profiler offers an innovative and integrated information system that enables businesses and service providers to better target and deliver their products and services to this fast growing and diverse segment of the population. The system uses a specially-designed survey that explores the values, attitudes, and practices of the 50+ market in the areas of housing, health care, community and home-based services, and financial services, and integrates these data with readily available data from the U.S. Bureau of the Census. This integration of new and existing data sources, coupled with a powerful and easy-to-use delivery system, distinguishes the Mature Marker Profiler from existing sources of information on the mature market. In particular, the Mature Market Profiler integrates national and local area survey data on the mature market with small-area socioeconomic and demographic data; it incorporates targeting, and pre-structured tables and maps profiling the mature market in the final product; and, it provides an off-the-shelf product of businesses and services providers which allows them to react quickly and effectively to changing attitudes, preferences, and needs of the mature market.

PROPOSED COMMERCIAL APPLICATION: The Mature Market Profiler offers businesses and service providers detailed and geographically-specific information on the size, growth, and characteristics of different segments of the older population in a powerful and easy-to-use delivery system. The system serves clients who provide housing, health care, community- and home-based services, financial services, and others targeting the older market.

PROJECT NUMBER.....5 R01 AG09781-04

INVESTIGATOR NAME/ADDRESS

WACHTER, KENNETH W  
UNIVERSITY OF CALIFORNIA  
2232 PIEDMONT AVE.  
BERKELEY, CA 94720

AWARD AMOUNT..... \$95,040

PERFORMING ORGANIZATION: UNIVERSITY OF CALIFORNIA BERKELEY

TITLE: PROJECTING KINSHIP RESOURCES FOR THE ELDERLY

ABSTRACT:

Changing demographic rates entail eventual changes in the numbers and types of living kin that elderly persons will have and thus in their potential kin-based resources. Computer microsimulation is a tool for projection these changes in kinship resources based on assumptions about the future course of demographic rates. This project will begin with an external validity study, believed to be the first ever conducted for kinship projection, comparing earlier projections of 1980s kinship against empirical estimates from the National Survey of Families and Households (NSFH). Next the effect of employing different modeling techniques will be assessed by comparing two sets of Chinese kinship forecasts, one derived by computer microsimulation and the other by the alternative technique of family status life tables. The microsimulation projection model and U.S. historical rate sets will be revised on the basis of these tests. NSFH information of kin counts will be extrapolated to the over-80 population using simulation where sample sizes are insufficient for stable estimates. New kinship projections for the U.S. will then be prepared down to 2050, separately for blacks and for whites and others, using a range of alternative forecasts of future demographic rates. The NSFH makes it possible to assess the degree to which kin of different types within kinship configurations of different types actually do now provide support of various kinds. This will allow the construction and projection of kinship-based resource indices for the United States which go beyond kin counts. Special emphasis will be placed on assessment of kinship networks for the "oldest old".

PROJECT NUMBER.....1 R01 AG14023-01

INVESTIGATOR NAME/ADDRESS

WACHTER, KENNETH W  
UNIVERSITY OF CALIFORNIA  
215 MOSES HALL #2308  
BERKELEY, CA 94720

AWARD AMOUNT..... \$43,181

PERFORMING ORGANIZATION: UNIVERSITY OF CALIFORNIA BERKELEY

TITLE: GRADE OF MEMBERSHIP MODELS IN AGING STUDIES

ABSTRACT:

This application seeks support for an investigation of the statistical properties of the Grade of Membership (GoM) models now in widespread use for the analysis of survey data on health status and disability for the elderly. Interpretation of results from analyses using these models and adoption of the models by a wider user community of gerontologists, demographers, and statisticians have been hindered by a lack of visualizable, fully-analyzed examples. This research project focuses on so-called "conditional" GoM models which generate "GoM" scores" for individual survey respondents -- these are the form of GoM models commonly employed in applications. The project concentrates on GoM models which supply 2 or 3-dimensional representations of data sets starting with 3 to 8 dichotomous variables. These low-dimensional cases permit both rigorous analysis and geometric presentation, supplying a repertory of examples of the different possible behaviors of the models. The project will proceed to a study of the robustness and sensitivity of GoM models to violations of the assumptions, working from artificially-constructed data sets based on variables from the AHEAD Survey and other national surveys on the elderly population.

PROJECT NUMBER.....1 K07 AG00739-01

INVESTIGATOR NAME/ADDRESS

WAITE, LINDA J

UNIVERSITY OF CHICAGO

1155 E 60TH STREET

CHICAGO, IL 60637

AWARD AMOUNT..... \$85,766

PERFORMING ORGANIZATION: UNIVERSITY OF CHICAGO

TITLE: ACADEMIC LEADERSHIP CAREER AWARD

ABSTRACT:

The University of Chicago requests funds for an Academic Leadership Career AWARD to Dr. Linda Waite to further interdisciplinary research into the demography, biodemography, and economics of aging. Waite was Co- director of the RAND Center for Aging Studies from 1989 to 1991, when she moved to the University of Chicago. Since she has been at Chicago, Waite wrote the application for the current NIA-funded training program in the demography and economics of aging and was responsible for preparing the proposal through which the exploratory Center on Demography and Economics of Aging was funded; she currently directs the CoA. She organizes the Demography Workshop at Chicago. These efforts have all substantially changed the research and training environment at Chicago, increasing the visibility of research on aging and enhancing the research environment. The proposed project would build on the recent substantial progress in establishing a productive training and research environment in aging at Chicago. Center researchers at Chicago already have a substantial portfolio of research underway on the demography, biodemography, and economics of aging. This project would allow Dr. Waite to improve the curriculum in aging across a number of departments, schools, and divisions; and to enhance the research capacity at Chicago through increased interaction among researchers and through provision of research support services. Curriculum changes would develop new undergraduate and graduate courses in a variety of departments. The AWARD would also provide increased time for building crucial research partnerships both within and outside the university, as well as for establishing contacts and relationships with private foundations and other potential sources of research funding. Finally, the project would support specialized programming assistance to facilitate the use of several new, complex, longitudinal datasets.

PROJECT NUMBER.....1 R03 AG14816-01

INVESTIGATOR NAME/ADDRESS  
WAITE, LINDA J  
NATIONAL OPINION RESEARCH

CENT

AWARD AMOUNT..... \$55,719

1155 EAST 60TH STREET  
CHICAGO, IL 60637

PERFORMING ORGANIZATION: NATIONAL OPINION RESEARCH CENTER  
TITLE: FUNCTIONING COMMUNITY AND LIVING ARRANGEMENTS OF ELDERS

ABSTRACT:

The incidence of disability will play a pivotal role in determining the needs of the growing older population in the United States. Following recent research on the disablement process, this project examines the process of environmental adjustment to functional limitations among mature adults in order to illuminate the social processes that create or prevent disability. Specifically, the project focuses on residential mobility and changes in living arrangements as responses to declines in physical cognitive, emotional and social functioning. Because dwelling and community characteristics are a central part of the adjustment process, the project includes dwelling and community characteristics such as stairs and adaptations for special needs, community characteristics, such as the presence and extent of local health services for elders, as well as individual characteristics in models of living arrangements and residential mobility. Data are drawn from two major new data sets, the Health and Retirement Survey (HRS) and the Survey of Asset and health Dynamics Among the Oldest Old (AHEAD). The investigators will work with the HRS and AHEAD research and survey staff to code county of residence at each interview for all respondents, which has not yet been done for these data. County characteristics for appropriate years, developed by the investigators from a variety of sources including the 1990 Census and the 1995 Area Resource File, will be attached to the records of each HRS and AHEAD respondent. Measures of functioning of individuals, characteristics of housing, and kin availability will be created. Finally, the investigators will conduct preliminary analyses of the impact of dwelling and local area characteristics on changes in residence and living arrangements among respondents, given their functioning across a number of separate dimensions.



PROJECT NUMBER.....1 R01 AG14521-01

INVESTIGATOR NAME/ADDRESS

WEINSTEIN, MAXINE A  
GEORGETOWN UNIVERSITY  
BOX 571214  
WASHINGTON, DC 20057

AWARD AMOUNT..... \$90,090

PERFORMING ORGANIZATION: GEORGETOWN UNIVERSITY  
TITLE: BIODEMOGRAPHY OF STRESS AMONG THE ELDERLY

ABSTRACT:

The social environment and exposure to life challenges are intimately interlocked with physiological responses to stress and to mental and physical well-being. Exposure to environmental stresses and the extent of their effects is mediated by the social environment encompassing position in social hierarchy and linkages within social network and support system. Ultimately, we plan to investigate the interconnections among stress, the social environment, and health. This pilot project focuses on biological markers of stress and of known risk factors and indicators of chronic disease. The fundamental aim of the research is to assess the feasibility of the collection of blood and urine specimens from a population-based sample of the elderly. The biological specimens will be assayed for set of stress-related markers. We propose to test a sample of 100 persons from two locations. The sample of 100 is a subset of individuals who have participated in the Surveys of Health and Living Status of the Elderly. The participants have been interviewed periodically beginning in 1989, and most recently, in a survey conducted earlier this year. The proposed effort will provide the basis for combining the newly-collected biological data with a rich set of longitudinal survey materials that incorporate a wide range of historical and current information on social, economic, and health- related characteristics and experiences.

PROJECT NUMBER.....1 R03 AG15212-01

INVESTIGATOR NAME/ADDRESS

WEINSTEIN, MAXINE A

GEORGETOWN UNIVERSITY

AWARD AMOUNT..... \$80,500

BOX 571214

WASHINGTON, DC 20057-1214

PERFORMING ORGANIZATION: GEORGETOWN UNIVERSITY

TITLE: SOCIAL CONTEXT OF HEALTH MAINTENANCE AMONG THE AGING

ABSTRACT:

The social environment and exposure to life challenges are intimately interlocked with physiological responses to stress and to mental and physical well-being. Exposure to environmental stresses and the extent of their effects is mediated by the social environment encompassing position in social hierarchy and linkages within social networks and support systems. Ultimately, we plan to investigate the interconnections among stress, the social environment, and health. This pilot project has three primary goals: 1) To perform a case study of health transitions among the elderly; 2) To adapt and refine a recently developed Boolean strategy for characterizing and abstracting from individual life histories; and 3) To contrast and evaluate the application of classical multivariate procedures with the adaptation of the new Boolean strategy developed in our second task. We will use data from two of the surveys that comprise the Study of Health and Living Status of the Elderly -- the initial 1989 interview and the 1993 follow-up. These surveys cover a wide range of data including full marital, residential and occupational histories, household composition and social and economic exchanges, health, health care service use and health-related behaviors, activities and attitudes, economic and financial well-being and emotional and instrumental supports and claims. The proposed effort will provide a case study and assessment of our proposed analytical strategy for a subsequent submission as an RO1. A related R03 has been approved for validation of the protocol for the collection of biological specimens which will be assayed for a set of stress-related hormonal markers. The two pilot projects are related through our theoretical model, but are complementary in their tasks and do not overlap in their proposed work.

PROJECT NUMBER.....5 R01 AG11552-05

INVESTIGATOR NAME/ADDRESS

WILMOTH, JOHN R

UNIVERSITY OF CALIFORNIA

AWARD AMOUNT..... \$160,017

2232 PIEDMONT AVE

BERKELEY, CA 94720

PERFORMING ORGANIZATION: UNIVERSITY OF CALIFORNIA BERKELEY

TITLE: MEASUREMENT AND ANALYSIS OF OLDEST-OLD MORTALITY

ABSTRACT:

DESCRIPTION: A key variable affecting the public and private health care system of the U.S. and other industrialized countries is the current trend in age-specific mortality rates, especially the trend at older ages. Most of the increase in life expectancy over the past 200 years has been due to dramatic reductions in mortality at younger ages, while death rates at older ages have fallen much less rapidly. It now appears that this situation may be changing, however, and the changes we are now observing may have enormous implications for the future size and composition of the elderly population. Will the trend toward higher life expectancy continue in the next century? Clearly, no one can predict the future with certainty. Rather, this project seeks to answer a more limited set of questions: Has the age pattern of mortality decline held constant over time, as assumed in many projection methods, or has it been changing? Has the shape of the human survival curve become more "rectangular" over time? Has the human lifespan been rising over time, or does it appear to be reaching some biological limit? The answers to all of these questions have important implications for the assumptions employed in mortality projections for the U.S. and other developed countries.

A unique aspect of this application is its emphasis on a balanced examination of both cohort and period trends in mortality. To achieve this objective, a new cohort mortality data archive will be assembled, containing high-quality cohort and period life tables (and the raw data used to compute them) for a collection of at least 10 developed countries. These data will be made available to other researchers through the World Wide Web.

PROJECT NUMBER.....5 R01 AG11815-04

INVESTIGATOR NAME/ADDRESS

WOLF, DOUGLAS A  
SYRACUSE UNIVERSITY

AWARD AMOUNT..... \$317,009

426 EGGERS HALL  
SYRACUSE, NY 13244-1090

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE

TITLE: DYNAMIC MICROSIMULATION OF ELDERS HEALTH AND WELL BEING

ABSTRACT:

The overall goals of this project are first, to develop a model in which the trajectories of health/disability status, family composition, and economic resources are jointly determined, and second, to produce a computer program that allows us to explore the dynamic implications of this model using microsimulation techniques. While the importance of understanding the dynamics of health and associated behaviors within the elderly population is widely acknowledged, researchers' and policy analysts have also come to recognize the importance of simultaneously taking account of developments in the domains of health and functional status, family composition, and economic resources. However, the complexity of the outcome space when these dimensions are considered jointly are such as to make attractive the microsimulation approach, while greatly restricting the scope for analytic approaches. The model to be embedded in our microsimulation program is intended to support both scholarly inquiry (of substantive and methodological interest) and, equally importantly, to inform current and future policy analysis in the areas of income security, health service use, and long-term care policy for the older population.

In order to achieve these long-run goals, our project will do the following:

- \* Specify and estimate equations for health/functional status trajectories, nursing home occupancy, and death, using panel data from the National Long-Term Care Survey. This analysis will build on and extend existing research based on the Grade of Membership (GoM) framework;
- \* Conduct parallel modeling efforts in the domains of kin-network composition and income flows, devoting particular attention to accounting for heterogeneity and within-family dependencies;
- \* Integrate the results of the preceding modeling efforts in a microsimulation computer program which has the capacity to dynamically simulate life histories, focusing on the elderly population;
- \* Develop and implement algorithms for analyzing the uncertainty attached to the output from the new microsimulation model; and
- \* Use the microsimulation model to conduct a series of analytic studies, medium-range disaggregated projections of the elderly population, and policy analyses.

The computer program to be created will be flexible in design, in order to adapt to a broad range of potential applications, and will be written so as to be maximally portable. It will also be fully documented and made available to the research and policy analysis communities.

PROJECT NUMBER.....1 R55 AG15739-01

INVESTIGATOR NAME/ADDRESS

WONG, REBECA

GEORGETOWN UNIVERSITY

AWARD AMOUNT..... \$50,000

BOX 571214

WASHINGTON, DC 20057-1214

PERFORMING ORGANIZATION: GEORGETOWN UNIVERSITY

TITLE: IMMIGRATION AND INTERGENERATIONAL TRANSFER

ABSTRACT:

The proposed pilot project has the following specific aims: 1) to describe the patterns of intergenerational financial transfer among populations of middle-aged immigrants and non-immigrants. 2) To determine whether the patterns of transfers differ according to the time since immigration and country of birth, controlling by the socioeconomic attributes and health care needs of donors and recipients of the transfers. Preliminary analyses have found that the patterns of financial transfers differ between middle-aged donors who are of Hispanic ethnic background and those who are not. The proposed project seeks to increase understanding of the observed ethnic effect, by exploring the potential that research using immigrant status and time since immigration offer to researchers of intergenerational transfers. The pilot project will use data from the Health and Retirement Study, and will supplement with data sources that offer richer information on nativity, time since immigration, and parental nativity, namely the Current Population Survey. The overarching hypothesis of the pilot project is that immigrant status enhances dependence on familial sources of financial support of the elderly, and this effect is more prominent with recency of the immigration. As time since immigration increases, the job history produces contributions to public welfare and the familiarity with the public system and financial markets increase, resulting in diminishing dependence on familial support for care of the elderly. The pilot project will be performed by researchers from Georgetown University Department of Demography.

PROJECT NUMBER.....5 R37 AG03188-16

INVESTIGATOR NAME/ADDRESS

WOODBURY, MAX A

DUKE UNIVERSITY

2117 CAMPUS DRIVE

DURHAM, NC 27708

AWARD AMOUNT..... \$229,405

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: LONGITUDINAL MODELS OF CORRELATES OF AGING AND LONGEVITY

ABSTRACT:

The age-related physiological and behavioral changes underlying the association of aging and mortality with sex and race will be assessed in five data sets (Framingham; Kaunas; Duke Longitudinal I; Duke Longitudinal II; Evans County). These data sets represent a wide range of population characteristics needed to determine whether the associations noted in one data set can be replicated in a similarly constituted analysis in the other data sets. In these analyses, we will apply methodologies appropriate to the estimation of the parameters of aging processes. Two such methodologies, which have been extensively applied to the study of such processes, will be used. The first, Grade of Membership (GOM) analysis, is applicable when there are many discrete variables used to describe biomedical and behavioral states and it is desired to determine if there exist subgroups with different age trajectories within the study population. The second, a stochastic process model of human aging and mortality, describes changes in a longitudinally followed population as a function of two inter-related processes: a) a continuous state-continuous time auto-regressive model of change on appropriate measurements, and b) a discrete state process, conditional upon the "current" risk factor values, which models systematic loss from the study population. This model is well suited to describe physiological aging changes on a moderate number of well identified risk factors. In these investigations we will accomplish certain specific and substantive tasks. First, there will be continued development of the two analytic procedures. For example, the algorithm of the stochastic process model will be modified to allow much higher transition rates (e.g., 30 percent or more) than those typically found in morbidity and mortality processes. This will facilitate the analysis of certain social transitions (e.g., retirement) which occur at a high rate over a relatively short period. Second, using the GOM model we will identify subgroups with very different aging trajectories and survival chances, both within individual populations and within multiple, differently constituted populations. Third, using both methods, we will assess sex differences in the rates of change of certain physiological and cognitive parameters, the age-related correlation of physiological, cognitive and behavioral changes, and the relation of such processes to the risk of death. Of interest, is a study of the temporal lag in CVD morbidity and mortality between the sexes.

***Centers, Program Projects, Subprojects***

PROJECT NUMBER.....5 P01 AG09743-07

INVESTIGATOR NAME/ADDRESS  
BURKHAUSER, RICHARD  
SYRACUSE UNIVERSITY

AWARD AMOUNT..... \$90,832

SYRACUSE, NY 13244-1090

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE

TITLE: WELLBEING OF THE ELDERLY IN A COMPARATIVE CONTEXT

SUBTITLE: CORE--NATIONAL COMPARATIVE DATABASE

**ABSTRACT:**

Datafiles from three nationally representative longitudinal datasets will be developed that will permit researchers to compare the relative work behavior, health, and economic well-being of older women and men in the United States with their counterparts in Germany and Great Britain. Of all the international datasets currently available, none offers a better match for cross-national comparisons with the United States than the German Socio-Economic Panel (GSOEP) and the British Household Panel study (BHPS). These datafiles are very similar in design to the Panel Study on Income Dynamics (PSID).

We will produce consistent and error-free English Language Public Use waves of the GSOEP; produce consistent and error-free waves of the PSID-GSOEP Equivalent Data File and to extend this file to include the British Household Panel Study (BHPS); facilitate the use of the GSOEP and the PSID-GSOEP-BHPS by researchers in the projects by assisting in creating the specific subfiles necessary for their research and by acting as data librarian for all other datasets used in the projects (except LIS) and assisting in the creation of subfiles for these data; and assist in the dissemination of these two datasets to the general research community.

PROJECT NUMBER.....5 P01 AG09743-07

INVESTIGATOR NAME/ADDRESS  
BURKHAUSER, RICHARD V  
SYRACUSE UNIVERSITY

AWARD AMOUNT..... \$544,992

SYRACUSE, NY 13244-1090

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE  
TITLE: WELLBEING OF THE ELDERLY IN A COMPARATIVE CONTEXT

ABSTRACT:

This is a continuation of a program project on the Well-Being of the Elderly in a Comparative Context. The ongoing program project is a coordinated series of multi-disciplinary research projects on the health, economic well-being, and behavior of older people from a cross-national perspective. It recognizes the economic diversity of the older population and investigates various components of it. The overarching methodology is one that recognizes the dynamic components of health, economic well-being, and behavior and proposes to both develop an exciting new longitudinal datafile-the Panel Study of Income Dynamics-German Socio-Economic Panel-British Household Panel Study Equivalent Data File (PSID-GSOEP-BHPS) and to analyze these data and other new data in order to provide a cross-national, dynamic evaluation of public policies related to older persons. The program project will be managed by an Administrative Core that will oversee the Data Core functions of data development and of dissemination of these data to the projects, and to the research community, as well as to oversee the five projects: (1) A Dynamic Analysis of Economic Well-Being at Older Ages; (2) Changing Income Security Systems for the Aged in the United States, Europe, Russia, and Asia; (3) Living and Care Arrangements of United States and German Elderly; (4) The Economic Well-Being and Work Behavior of People with Disabilities; and (5) Causes and Consequences of Self-Employment at Older Ages.

As in the work to date, the selection of new research topics has been guided by how they use the dynamic nature of our- cross-national data to answer questions of interest to American policymakers. The central research team already forms the nucleus of the NIA Center for Demography and Economics recently established at Syracuse and is augmented by key researchers from Germany and Great Britain who will aid in the data development, as well as in the identification of important institutional considerations and in the analysis. A goal of the program project is to disseminate the created data to the larger research community interested in evaluating the health, economic well-being , and behavior of older persons from a cross-national perspective.



PROJECT NUMBER.....5 P01 AG09743-07

INVESTIGATOR NAME/ADDRESS  
BURKHAUSER, RICHARD V  
SYRACUSE UNIVERSITY

AWARD AMOUNT..... \$90,832

SYRACUSE, NY 13244-1090

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE

TITLE: WELLBEING OF THE ELDERLY IN A COMPARATIVE CONTEXT

SUBTITLE: DYNAMIC ANALYSIS OF ECONOMIC WELL BEING AT OLDER AGES

ABSTRACT:

This is a competing continuation application for research support for project 1 of the original program project. It proposes to answer questions about the economic well-being of older persons with a special emphasis on older women. This proposal will use both cross-sectional and longitudinal data to measure economic well-being of older retired people and older workers relative to the rest of the population, both in the United States and in comparison with two modern western industrialized countries-the Federal Republic of Germany and the United Kingdom-to determine how vulnerable older groups fared over the past 25 years both absolutely and relative to others in the population.

Methodologically, we will recognize the diversity both within the older population and across age groups by moving beyond summary measures of their economic well-being-mean income, median income, quintile position, Gini coefficient, etc.-and we will take advantage of a new generation of nonparametric techniques to measure inequality-kernel density estimation to show the shape of the entire income distribution and how it has changed over time. While we begin our analysis using cross-sectional data we will concentrate on the dynamics of income distribution by following individuals over time and tracing their movements across the distribution. And we will eventually test whether or not major events-the reunification of Germany and the decade of the 1980s in the United States-correspond with regime changes in the overall income distribution and in the position of older and vulnerable groups within that distribution.

PROJECT NUMBER.....5 P01 AG09743-07

INVESTIGATOR NAME/ADDRESS  
BURKHAUSER, RICHARD V  
SYRACUSE UNIVERSITY

AWARD AMOUNT..... \$90,832

SYRACUSE, NY 13244-1090

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE

TITLE: WELLBEING OF THE ELDERLY IN A COMPARATIVE CONTEXT

SUBTITLE: ECONOMIC WELL BEING AND EMPLOYMENT BEHAVIOR FOLLOWING  
ONSET OF A DISABILITY

ABSTRACT:

The explosive growth in the disability benefit rolls between 1989 and 1993, coupled with the recognition that many people with disabilities work and that those who do are better off than those who depend on transfers, has heightened interest in the factors that influence an individual's work and economic well-being following the onset of a disability. Despite this heightened interest, to date only a small body of research has focused on this topic. This proposal will describe the various paths that individuals with disabilities take following the onset of a health condition and investigate the factors that influence these decisions. These goals will be accomplished by applying a broad definition of disability unrelated to post-onset behaviors such as reduced work or benefit receipt; by using this definition to describe the entire distribution of outcomes for people with disabilities, not just the experiences of the average member of the population; by expanding the analysis to multi-period data to capture the critical transition years before and after the onset of a disability; by comparing the outcomes for individuals with disabilities in the United States with outcomes for their counterparts in Germany; by modeling the decision to apply for the single most important United States disability transfer program-Social Security Disability Insurance (DI); and by simulating the consequences of changes in disability policy using the results of these structural models.

PROJECT NUMBER.....5 P01 AG08761-08

INVESTIGATOR NAME/ADDRESS

CAREY, JAMES R

DUKE UNIVERSITY

AWARD AMOUNT..... \$259,663

BOX 90245

DURHAM, NC 27708-0245

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: OLDEST-OLD MORTALITY--DEMOGRAPHIC MODELS AND ANALYSES

SUBTITLE: OLDEST-OLD MORTALITY FOR MEDITERRANEAN FRUIT FLIES

ABSTRACT:

The broad goal of this proposed project is to address questions about the nature of morbidity and mortality and their interrelationships using a large scale medfly model system. The proposed project will help frame basic questions about the dynamics of mortality, will serve as a model experimental system around which research on aging and mortality for other non-humans can be patterned and will contribute to knowledge of the biology of mortality and morbidity by gathering, analyzing and publishing data using large fruit fly cohorts raised under controlled conditions. There are four specific aims of prime interest to this program project on oldest-old mortality.

1. To determine the relationship between the age-specific schedules of mortality and morbidity in a minimum of once million medflies of both sexes. This relationship will be examined using both optimal and suboptimal environmental conditions to produce both high and low mortality rates. These results will test the hypothesis that morbidity rates decrease with increases in life expectancy and will provide the first detailed set of biological data on morbidity incidence and prevalence rates in a nonhuman species.
2. To measure and analyze age-specific mortality and reproductive traits of subsamples in the surviving 0.1% of both sexes starting with cohorts totaling 100 million medflies. This will provide a test of the hypotheses that mortality rates of medflies at the most advanced ages remain low and that oldest old flies retain reproductive capabilities using a base population two orders of magnitude larger than previously examined.
3. To determine morbidity and mortality sex differentials over the life course of medflies. Specific questions include whether the gender gap increases or decreases with increasing life expectancies in medfly cohorts and whether the prevalence of morbidity is the same between males and females at low and high life expectancies.
4. To assess sex- and age-specific mortality rates in large cohorts (1 million flies) of two tephritid fruit fly species related to the medfly-- the Mexican fruit fly, *Anastrepha ludens* and the West Indian fruit fly, *A. obliqua*. Both species are mass-reared at the medfly rearing facility in Tapachula, Mexico and thus readily available in large numbers. The results of these trials will test hypothesis that slowing of mortality rates at advanced ages is not unique to the medfly of *Drosophila*.

PROJECT NUMBER.....5 P01 AG08761-08

INVESTIGATOR NAME/ADDRESS

CURTSINGER, JAMES W

DUKE UNIVERSITY

AWARD AMOUNT..... \$259,663

BOX 90245

DURHAM, NC 27708-0245

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: OLDEST-OLD MORTALITY--DEMOGRAPHIC MODELS AND ANALYSES

SUBTITLE: OLDEST-OLD MORTALITY AND DISABILITY FOR DROSOPHILA

ABSTRACT:

We propose to investigate mortality and morbidity at the oldest ages in *Drosophila melanogaster*, an experimental system that is well-suited to laboratory analysis and genetic manipulation. Specific aims are: 1) A dense genetic map of DNA-based marker loci will be constructed for a set of inbred lines of fruit flies. Random amplification of polymorphic DNA (RAPDs) will be used in screening 400 oligonucleotide primers in four inbred lines. 2) Quantitative Trait Locus (QTL) mapping will be done using 40,000 single-fly PCR assays, with 90 to 100 marker loci assayed per fly, to test the classical hypothesis that variation in quantitative characters is due to variation in many genes, each with a small effect, and also will identify candidate longevity genes. 3) Demography of genes will be studied, by estimating parameters of age-dependent mortality for small chromosomal segments found by QTL mapping to underlay variation in longevity, using recombinant inbred lines. Data will be collected on both sexes, with particular attention to the leveling off of mortality rates at the oldest ages and the correlation of male and female mortality patterns. Six blocks of 20,000 flies each will be executed.

Notable features are: (i) The experiments emphasize large scale data collection for estimation of genetic and demographic parameters. (ii) QTL mapping experiments employ some of the most recent developments in DNA technology (PCR and RAPDs). (iii) Data will be informative about the genetic basis of male-female correlations. (iv) Data will be archive for general access.

Health relevance: The research will provide information about the plasticity of morbidity and mortality at the oldest ages in a model experimental system.

PROJECT NUMBER.....5 P01 AG08761-08

INVESTIGATOR NAME/ADDRESS

MANTON, KENNETH

DUKE UNIVERSITY

AWARD AMOUNT..... \$259,663

BOX 90245

DURHAM, NC 27708-0245

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: OLDEST-OLD MORTALITY--DEMOGRAPHIC MODELS AND ANALYSES

SUBTITLE: STATISTICAL DEVELOPMENT

ABSTRACT:

In this project we develop models for the analysis of the Danish Twins disability data and for analyzing the positively restricted spectra of the joint disability failure time distributions of the insect experiments. In addition, we will examine the dynamic equilibrium of disability and mortality in a multivariate stochastic diffusion process generalized for convexly bounded state spaces. These developments are further evolution of methods, model and analytic procedures we have successfully applied to other longitudinal data sets containing long-term follow-up of a rich state space for human populations (e.g., Framingham;1982, 1984, 1989 NLTCS). In none of those studies did we deal explicitly with genetic variation though the models were constructed in a general enough way so that the mathematical representation (and statistical estimation of parameters) of genetic effects only required the availability of appropriate genetic data. There are a total of four aims to be covered.

1. Aid in the design and implementation of the longitudinal Danish Twin Study; calculation of variance optimized design; development of appropriate sample weights; analyses and evaluation of left and right censoring effects.
2. Analysis of the data from the Danish Twin Study of ascertain the genetic contributions to a multivariate functional status stochastic process which interacts with mortality.
3. Evaluation of dynamic equations of disability and mortality in determining the shape of mortality at late ages.

PROJECT NUMBER.....5 P01 AG08761-08

INVESTIGATOR NAME/ADDRESS

VAUPEL, JAMES W

DUKE UNIVERSITY

AWARD AMOUNT..... \$1,298,317

BOX 90245

DURHAM, NC 27708-0245

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: OLDEST-OLD MORTALITY--DEMOGRAPHIC MODELS AND ANALYSES

ABSTRACT:

Summary Research Plan of the Overall Program - We are currently engaged in a four-year program of research that focuses on the Fries hypothesis, i.e., whether genetic factors limit human life expectancy to 85 years or so. We request five years of continued support for broader research on oldest-old mortality. The overarching theme of the proposed program of research is "Trajectories of Mortality at Advanced Ages".

We will address four main issues concerning trajectories of mortality at advanced ages: (i) the environmental and genetic plasticity of mortality rates, (ii) the deceleration of mortality with age, (iii) the interrelationship between disability (ADL's) and mortality, and (iv) male-female differences. To do so: (1) For the benefit of other researchers we will gather, code, verify, archive, and release public-use files of data on mortality rates and various covariates (such as causes of death and ADL's) for various populations, including males and females in the United States and 27 other countries in recent decades, MZ twins and both same-sex and different-sex DZ twins born in Denmark between 1870 and 1930, and three related fruit-fly species as well as inbred lines of *Drosophila*. (2) We will use demographic and statistical methods (including life-table, extinct-cohort, smoothing, and survival-analysis methods) to summarize the data and describe trajectories of mortality at advanced ages, including analysis of how mortality rates change with age, over time, for successive birth cohorts, across different countries, across different areas of the United States, for males vs. females, for different causes of death (for Danish twins), at different ADL levels, for different species, for different genotypes, and for population (of *Drosophila*) that share different chromosomal regions (quantitative trait loci). (3) We will develop alternative theory-based models that incorporate biological knowledge and fit them to the data to gain a understanding of aging and mortality. The models will include genetic and environmental factors, mortality trajectories for individuals, and mortality selection in heterogeneous populations. (4) We will develop demographic and statistical methods of analysis useful for describing the data and analyzing underlying mechanisms as well as biological methods of experimental demography and quantitative trait locus analysis. In particular, we will develop extinct-cohort methods; Lexis-map methods; experimental demography methods for studying ADL's and mortality under different conditions, adaptations of methods of quantitative trait locus analysis for classifying individual *Drosophila* according to chromosomal regions, models to simultaneously fit mortality data for the oldest-old in various cohorts, countries, areas of the United States, and species; models to simultaneously analyze mortality data on the general populations of Denmark as well as the MZ and DZ twin population; multivariate stochastic process models to combine mortality data with ADL data, both for Danish twins and for the Medflies and *Drosophila*, and GoM models of the dynamics of death and disability in the insect experiments.

PROJECT NUMBER.....5 P01 AG08761-08

INVESTIGATOR NAME/ADDRESS

VAUPEL, JAMES W

DUKE UNIVERSITY

AWARD AMOUNT..... \$259,663

BOX 90245

DURHAM, NC 27708-0245

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: OLDEST-OLD MORTALITY--DEMOGRAPHIC MODELS AND ANALYSES

SUB TITLE: OLDEST-OLD MORTALITY ACROSS GENERATIONS

ABSTRACT:

Is there a common pattern in the age-trajectory of mortality in developed countries at oldest-old ages? Does this pattern, albeit with different parameter values, hold for Medflies, Mexflies, West Indian fruitflies, and *Drosophila*? Do age trajectories of mortality for males vs. females converge or crossover? How much progress has been made in recent decades in reducing mortality after age 80?

This research project is designed to address these questions through theory-based modeling and statistical analysis of data sets that will be rigorously checked for reliability and achieved and published in full to aid future researchers. Specifically, in the proposed research we will: (1) Extend, correct, archive, and publish in full (with public use files) a data set on sex-specific death counts, population counts, and death rates after age 50 and up to the highest ages attained by single year of age, by single year of time for several decades, and when possible, by year of birth, in at least 28 developed countries including the United States. (2) Apply various methods of checking data for reliability, including some innovative Lexis-map methods to these data sets. (3) Refine extinct-cohort methods so that mortality rates can be estimated for not-yet-extinct cohorts based only on death count data. (4) Analyze these data to determine trajectories of mortality over age and time, between sexes, and across countries, with a focus on mortality after age 80 and with emphasis on finding unifying, underlying patterns that aid understanding of the mechanisms of aging and death. (5) Analyze data on Medflies, Mexflies, and West Indian fruitflies with similar questions in mind. (6) Analyze data on *Drosophila* classified by genotype and by chromosomal markers to determine mortality trajectories for genotypes and for genes (i.e., for populations that share similar chromosomal regions), again with questions in mind similar to those in aim 4, and with the goal of determining whether "inclusive" mortality models can be developed that hold across populations, species, and genotypes.

PROJECT NUMBER.....5 P01 AG08761-08

INVESTIGATOR NAME/ADDRESS

VAUPEL, JAMES W

DUKE UNIVERSITY

AWARD AMOUNT..... \$259,663

BOX 90245

DURHAM, NC 27708-0245

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: OLDEST-OLD MORTALITY--DEMOGRAPHIC MODELS AND ANALYSES

SUB TITLE: OLDEST-OLD MORTALITY AND DISABILITY AMONG DANISH TWINS

ABSTRACT:

Project 2: Oldest-Old Mortality and Disability Among Danish Twins

This research project is designed to extend the Danish Twin Register in three directions, involving different-sex DZ twins, causes of death, and ADLs. The new data will be carefully checked, achieved, and published in full to aid other researchers. In addition, the new data, together with existing data, will be analyzed to better understand genetic factors underlying trajectories of mortality. Specifically, we will: Update and computerized data on different-sex DZ twins born between 1870 and 1910, merge these data with the existing data base on MZ and same-sex DZ twins, and then analyze these data to better understand mortality patterns for men vs. women, as well as studying special characteristics of different-sex DZ twins compared with same-sex MZ and DZ twins.

Link the Danish Twin Register with the Danish Cause-of-Death Register to obtain proximate, underlying, and contribute causes of death for all twins who died since 1943, and then analyze these data to uncover genetic factors and common-childhood-environment factors underlying causes (or groups of causes) of death that are correlated for MZ and DZ twins.

Collect and computerize data on the health and disability of elderly Danish twins in 1995 and again two years later, and then analyze these data to uncover genetic factors and common-childhood-environment factors underlying health and disability patterns and subsequently mortality.



PROJECT NUMBER.....5 P01 AG08291-08

INVESTIGATOR NAME/ADDRESS

GERTLER, PAUL J

RAND

AWARD AMOUNT..... \$89,255

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: SOCIAL AND ECONOMIC FUNCTIONING IN OLDER POPULATIONS

SUB:TITLE: HEALTH AND AGING DYNAMICS IN A LOW INCOME POPULATION

ABSTRACT:

Research on the dynamics of health and well-being among economically disadvantaged elderly persons will be significantly enhanced by the fielding of a panel data set including relevant measurements which will be prepared for public release. We will design and field a 5,000 household resurvey of poor households headed by or containing an elderly member. This survey will be fielded in 1997 and resurvey households interviewed in the baseline survey in 1993. The fact that the baseline is already in place represents a major savings in the money and time needed to produce a panel data set. Together with the baseline survey, the second wave of data will support research on important dynamic aging processes such as the transition from self-sufficiency to dependency, the decline from robust health to frailty, labor force and earning dynamics, wealth accumulation and decumulation, living arrangements and intergenerational transfers. A particular focus will be the development of a variety of appropriate measures of mental and physical health and of health care utilization. In order to facilitate comparative studies of aging dynamics in poor and non-poor populations, the survey will be purposely designed to complement efforts such as the Health and Retirement Survey (HRS) and the Assets and Dynamics (AHEAD). However, on average, survey participants will be considerably more impoverished. The survey will also be designed to take advantage of changes in the provision of social security and health insurance. The baseline and follow-up will straddle an exogenously-introduced expansion of the social safety net available to the working poor.

PROJECT NUMBER.....5 P01 AG08291-08

INVESTIGATOR NAME/ADDRESS

GERTLER, PAUL J

RAND

AWARD AMOUNT..... \$89,255

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: SOCIAL AND ECONOMIC FUNCTIONING IN OLDER POPULATIONS

SUBTITLE: DETERMINANTS OF ADULT HEALTH TRANSITION

ABSTRACT:

This study will investigate the determinants of transitions into ill-health and one of the important proximate determinants--medical care utilizations. The project will illuminate both the evolution of health status and health service use that accompanies aging. We will examine adults of all ages in order to identify the age at which individuals make the transition from self-sufficiency to dependency. We will also investigate how the age of transition and medical care utilization are altered by individual socio-economic circumstances. Understanding the process of transition and its implications for medical care utilization are important elements in planning for aging.

The proposed research will use data with several distinguishing features: (1) a larger number of health indicators that together measure overall health status, physical functioning, nutrition, acute morbidity, and elements of mental health such as depression and sleeplessness, (2) the health measures are available from two points in time, allowing us to analyze health transitions, (3) the health data is combined with detailed individual and household socio-economic data including information on health insurance and the family's social support network, (4) detailed data on health care utilization is available for two points in time allowing us to control for unobserved heterogeneity.

PROJECT NUMBER.....5 P01 AG08291-08

INVESTIGATOR NAME/ADDRESS

PANIS, CONSTANTIJN

RAND

AWARD AMOUNT..... \$89,255

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: SOCIAL AND ECONOMIC FUNCTIONING IN OLDER POPULATIONS

SUB TITLE: CORE--DATA MANAGEMENT AND COMPUTING

ABSTRACT:

Our immediate purpose in supplementing the PSID is to provide the data required by several of the Program Project's studies. However--and ultimately more important --the combination of new and existing data will greatly expand research opportunities for the research community as a whole.

The Core's specific aims are:

1. To augment the PSID sample of older individuals through relatively inexpensive procedural changes.
2. To link PSID records of consenting panel members in 1990 (containing up to 23 years of personal economic and demographic history) with Medicare records (up to 7 years retrospectively, 1984-90, and an indefinite period prospectively).
3. To supplement the PSID core questionnaire for older heads of household with a series of questions on current and recent health-related topics, including sources of care and financing; and to ask surviving spouses (widows and widowers) about health-related issues, finances, and sources of support for the deceased partner during the last years of life.
4. To conduct a Supplemental Survey of Wives, in which they-act as proxy respondents for surviving parents (and possibly for siblings over 50), on a similar, but more limited set of health-related topics, and ask about various types of transfers, caregiving, and living arrangements.
5. To update some of the above information with followup supplements in 1991 and 1992, focusing primarily on health and medical care.

PROJECT NUMBER.....5 P01 AG08291-08

INVESTIGATOR NAME/ADDRESS

SMITH, JAMES P

RAND

AWARD AMOUNT..... \$89,255

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: SOCIAL AND ECONOMIC FUNCTIONING IN OLDER POPULATIONS

SUB TITLE: WEALTH DISPARITIES AMONG MATURE AND OLDER ADULTS

ABSTRACT:

This project attempts to describe the patterns of asset accumulation and savings among middle-aged and older American households. This description will be comprehensive in an important dimension often ignored in the literature. Most studies have used personal net worth, but this ignores large components of wealth: pensions, social security, Medicare and other income conditioned social insurance wealth. These often-neglected components are not only quantitatively large, but they are distributed quite differently across income and race than personal net worth is. By viewing all these components in combination as well as in isolation, new insights can be gained about the reality and motives that cause wealth differences across households.

Two important new data sets will be used: the Health and Retirement Survey (HRS) and Asset and Health Dynamics of the Oldest-Old (AHEAD). Combined, these two innovative surveys span the mature and older ages in the life cycle. They hold the promise of significantly improved measurement of wealth both in the quality of individual items as well as the components of wealth that can be measured. Both surveys also include new comprehensive and innovative measures of covariates such as health status which may help us understand why these wealth disparities emerge.

PROJECT NUMBER.....5 P01 AG08291-08

INVESTIGATOR NAME/ADDRESS

THOMAS, DUNCAN

RAND

AWARD AMOUNT..... \$89,255

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: SOCIAL AND ECONOMIC FUNCTIONING IN OLDER POPULATIONS

SUB TITLE: HEALTH AND LABOR OUTCOMES OVER THE LIFE COURSE

ABSTRACT:

This project will examine labor market outcomes, particularly wages, of men and women in a low income setting focusing on mature and older people. Since ill-health can have a devastating impact on the earning and welfare of the poor, the analytical emphasis will be placed on the relationship between labor outcomes and health status. Using retrospective life history data, changes in wages and labor supply over the life course will be documented for workers over the last 20 to 30 years.

One of the key factors affecting the well-being of older people is their health status. Exploiting extremely rich life history survey data, we will comprehensively examine the relationship between labor market outcomes and health of people later in their lives. The survey contains exceptional detail on health and so a broader array of health indicators will be included in the analysis than has hitherto been possible. It is important to identify whether healthier people are more productive and, hence, earn more or whether having more income results in individuals making greater investments in health. We will pay special attention to identifying the direction of causality by drawing on data from a specially collected community level survey that contains information on local infrastructure, health services and prices.

PROJECT NUMBER.....5 P20 AG12846-04

INVESTIGATOR NAME/ADDRESS

HERMALIN, ALBERT I

UNIVERSITY OF MICHIGAN

1225 SOUTH UNIVERSITY AVE

ANN ARBOR, MI 48104-2590

AWARD AMOUNT..... \$414,953

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: MICHIGAN EXPLORATORY CENTER ON DEMOGRAPHY OF AGING

ABSTRACT:

This proposal seeks to establish a Michigan Exploratory Center on Aging as a joint project of the Population Studies Center and Institute for Social Research. The Center will specialize in the management, dissemination, and analysis of several large datasets, such as the Health and Retirement Survey and U.S. Census, which are critical for conducting basic research and policy on the following topics in aging: The determinants of retirement and consequences for health and well-being. The relationship between socioeconomic status and health Demographic and survey methods for studying elderly populations. The dynamics of intergenerational exchanges Demographic analysis of the aging of disadvantaged populations Demographic/economic evaluation of the impact of public policies (e.g. eligibility Social Security, pensions, disability insurance) on retirement.

A broad range of mechanisms will strengthen aging research at Michigan and increase contact with the external research community. These include: Regular meetings of Center members to share news about the field, report on personal research, and plan Center activities.

Pilot projects:

- Semi-annual mini-conference on a specific topic of high interest.
- A program of visiting speakers to "infiltrate" existing seminars and colloquia.
- Development of new courses or units in health and aging.
- A Unix workstation and supporting services dedicated to the major datasets.
- Development of special programs for exploring and extracting files from large datasets.
- Summer workshops on specific topics, datasets, software, methodologies.
- Electronic networks providing bulletin board, online archives, helplines to internal and external users.

We also propose to serve the coordinating center function that will link all NIA Exploratory Centers on the Demography of Aging.

PROJECT NUMBER.....5 P20 AG12846-04

INVESTIGATOR NAME/ADDRESS

HERMALIN, ALBERT I

UNIVERSITY OF MICHIGAN

1225 SOUTH UNIVERSITY AVE

ANN ARBOR, MI 48104-2590

AWARD AMOUNT..... \$103,738

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: MICHIGAN EXPLORATORY CENTER ON DEMOGRAPHY OF AGING

SUBTITLE: CORE--PROGRAM DEVELOPMENT

ABSTRACT:

The Administrative Core will oversee the following functions of the Michigan Exploratory Center as a whole:

- \* Program development and long-range planning
- \* Coordination of seminars and mini-conferences
- \* Coordination of workshops and other special dissemination activities
- \* Data acquisition, special data files and software
- \* Data and network management
- \* Review of pilot project proposals
- \* Day-to-day management, financial administration, coordination and practical support for all center-wide activities

PROJECT NUMBER.....5 P20 AG12846-04

INVESTIGATOR NAME/ADDRESS

HERMALIN, ALBERT I

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$103,738

1225 SOUTH UNIVERSITY AVE

ANN ARBOR, MI 48104-2590

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: MICHIGAN EXPLORATORY CENTER ON DEMOGRAPHY OF AGING

SUBTITLE: CORE--EXTERNAL INNOVATIVE NETWORK

ABSTRACT:

Core B will focus on new program development via recruitment of a junior tenure-track faculty member and support for pilot projects. The pilot projects will involve investigators from the Institute for Social Research, Population Studies Center, Institute of Gerontology and School of Public Health. They will explore a broad range of topics using several major datasets: HRS, AHEAD, PSID, U.S. Census, Asian censuses.



PROJECT NUMBER.....5 P20 AG12846-04

INVESTIGATOR NAME/ADDRESS

HERMALIN, ALBERT I

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$103,738

1225 SOUTH UNIVERSITY AVE

ANN ARBOR, MI 48104-2590

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: MICHIGAN EXPLORATORY CENTER ON DEMOGRAPHY OF AGING

SUBTITLE: CORE--EXTERNAL RESEARCH RESOURCES SUPPORT AND DISSEMINATION

ABSTRACT:

The External Innovative Network Core will establish electronic networks of the following types: research interest groups; user groups for HRS, AHEAD and PSID databases; preview and follow-up groups for workshops; and electronic bibliography.

PROJECT NUMBER.....5 P20 AG12846-04

INVESTIGATOR NAME/ADDRESS

HERMALIN, ALBERT I

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$103,738

1225 SOUTH UNIVERSITY AVE

ANN ARBOR, MI 48104-2590

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: MICHIGAN EXPLORATORY CENTER ON DEMOGRAPHY OF AGING

SUBTITLE: CORE--COORDINATING CENTER

ABSTRACT:

This core will support dissemination of data and research findings in the following ways:

- \* Summer workshops
- \* Dissemination of data (HRS, AHEAD, PSID, U.S. CENSUS) and technical assistance via UNIX workstation and appropriate networks Development of enhanced data files and special software

PROJECT NUMBER.....5 P01 AG09743-07

INVESTIGATOR NAME/ADDRESS  
HOLTZ-EAKIN, DOUGLAS  
SYRACUSE UNIVERSITY

AWARD AMOUNT..... \$90,832

SYRACUSE, NY 13244-1090

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE

TITLE: WELLBEING OF THE ELDERLY IN A COMPARATIVE CONTEXT

SUBTITLE: CAUSES AND CONSEQUENCES OF SELF EMPLOYMENT AT OLDER AGES

ABSTRACT:

As the population ages, it will be essential to understand all aspects of the retirement process of older individuals: career jobs, bridge jobs, self-employment, and labor force withdrawal. This proposal focuses on self-employment, investigating the prevalence of self-employment, the dynamics of self-employment, the impact of self-employment on economic welfare, and individuals' decisions to become and remain self-employed among older individuals in the United States and Germany.

Our first Specific Aim is to analyze trends in the prevalence and composition of self-employment in both countries, developing age-, gender-, and ethnicity-specific self-employment rates that will permit us to identify trends in self-employment, changes in the composition of the self-employed population, and cross-national differences in the prevalence of self-employment. Our second Specific Aim is to provide gender-specific econometric analyses of the entry into and exit from self-employment for older workers, and conditional upon self-employment status-estimates of the determinants of work hours and earnings. These estimates will permit us to quantify the impacts of individuals' age, health and disability status, earlier labor force experiences, and other socioeconomic characteristics on self-employment and economic well-being.

PROJECT NUMBER.....5 P01 AG09743-07

INVESTIGATOR NAME/ADDRESS  
SMEEDING, TIMOTHY M  
SYRACUSE UNIVERSITY

AWARD AMOUNT..... \$90,832

SYRACUSE, NY 13244-1090

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE

TITLE: WELLBEING OF THE ELDERLY IN A COMPARATIVE CONTEXT

SUB TITLE: CHANGING PENSION SYSTEMS IN UNITED STATES, EUROPE, ASIA, AND  
TRANSITION NATIONS

ABSTRACT:

This is a competing continuation application to extend Projects 2 and 3 of our original P01 proposal. It will use Luxembourg Income Study data to look at changes in the economic well-being of older populations relative to the nonaged in Canada, Australia, Central Europe, Russia, Western Europe, Scandinavia and Asia, comparing their situation with that in the United States. The project will use both cash and noncash income measures and will explore the role of health care expenses in measurement of economic well-being. The ability of social and private pension systems to produce economic security in old age will be explored. The project will study the economic well-being of persons age 65 and over, with particular emphasis on the status of older women.

We will begin reassessing the economic well-being of older Americans by updating our original analyses for the 1980s through the 1990s and adding to it in several ways. We will pay special attention to out-of-pocket health care costs and other forms of noncash income among the aged and we will make a number of comparisons in real purchasing power-adjusted dollar terms. Comparative static microsimulation is employed in a crossnational context to show how changes in income support and health care expenses can affect economic well-being. We will then explore the role of social retirement systems as compared to occupational pensions and savings in providing various components of economic security: poverty alleviation, income replacement, and income stability. Here we will place special emphasis on women's pension rights in both social and private retirement income systems. Finally, we will explore the differences in economic well-being among the aged in various types of extended living arrangements.

PROJECT NUMBER.....5 P01 AG09743-07

INVESTIGATOR NAME/ADDRESS  
WOLF, DOUGLAS A  
SYRACUSE UNIVERSITY

AWARD AMOUNT..... \$90,832

SYRACUSE, NY 13244-1090

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE

TITLE: WELLBEING OF THE ELDERLY IN A COMPARATIVE CONTEXT

SUB TITLE: LIVING AND CARE ARRANGEMENTS OF UNITED STATES AND GERMAN  
ELDERLY

ABSTRACT:

Family composition is a key component of well being for the older population. Family members (especially spouses and children) are important sources of assistance with household tasks and activities of daily living. Social support provided by family members has been shown to be associated with improved health and longevity, while access to children or other family members serves both to delay entry into a nursing home and to hasten exit from a nursing home.

This study will continue and extend a newly-funded project examining the demographic underpinnings of living and care arrangements of older people in Germany and the United States. The research addresses questions concerning living arrangements-what percentage of older Germans and Americans live alone, with children, or with others; how are living arrangements influenced by the availability of kin, as well as by other factors such as age, income, and disability status; and, do demographic factors influence entry into nursing homes-and questions concerning their receipt of care-what types of help do children provide their elderly parents; do elders living alone receive help from their children; and, does the availability of children reduce utilization of formal and other extra familial sources of assistance.

The research on living arrangements will pertain to Germany and the United States, and will use data from the German Socio-Economic Panel (GSOEP) and Asset and Health Dynamics of the Oldest-Old (AHEAD) studies. Comparisons will be drawn between East and West Germany, as well as between Germany and the United States. The analysis will include estimation of cross-sectional and dynamic models of living arrangements, and microsimulation of lifetime use of nursing home services. The research on care arrangements will pertain to Germany only. Of particular interest is the impact of Germany's 1994 Dependency Insurance Act, which established a new program to reimburse expenses of both community-based long-term care (beginning in 1995) and nursing home residence beginning in 1996.

PROJECT NUMBER.....5 P20 AG12839-04

INVESTIGATOR NAME/ADDRESS

LEE, RONALD D

UNIVERSITY OF CALIFORNIA

OFC OF VICE-CHANCELLOR FOR

AWARD AMOUNT..... \$167,778

RES

BERKELEY, CA 94720

PERFORMING ORGANIZATION: UNIVERSITY OF CALIFORNIA BERKELEY

TITLE: CENTER ON THE DEMOGRAPHY AND ECONOMICS OF AGING

ABSTRACT:

It is proposed to establish a highly interdisciplinary Center on the Demography and Economics of Aging. The Center will have thirteen members drawn from Demography, Economics, Sociology, Anthropology, Public Policy, Statistics and Biology. This distinguished group of researchers includes three members of the National Academy of Sciences, and recipients of many other honors and prizes. Center members hold 7 current NIA grants, and two NSF grants on aging related topics. (In addition, they currently hold two NICHD funded grants for aging related research, both of which will expire before the Center starts, and numerous federal and non-federal grants for non-aging related research.) Their current funded research on aging clusters around two themes: 1) analysis and forecasting of mortality and population at both the aggregate and micro levels; 2) life cycle planning, asset accumulation and interage transfers as motivated by needs in old age. With Center Core B support, members will establish a third theme; 3) elderly health status and health care utilization. The Center will lead to more efficient and better research by a) providing infrastructural support for computing and data access, infrastructure which will effectively exploit economies of scale; b) facilitating and encouraging interactions among the members from diverse departments; c) supporting new research initiatives through Core B funding of pilot projects; and d) encouraging innovation and creativity by providing Core A resources to pursue spur of the moment ideas while they are fresh. It is also an important goal of the Center to increase research activities on aging among social scientists at Berkeley including non-members of the Center (and perhaps at other local institutions). Berkeley has a highly successful and well-funded interdisciplinary training program in Demography, and is planning to submit a training grant proposal to NIA this Spring; it has already trained several researchers in aging.

PROJECT NUMBER.....5 P20 AG12839-04

INVESTIGATOR NAME/ADDRESS

LEE, RONALD D

UNIVERSITY OF CALIFORNIA

OFC OF VICE-CHANCELLOR FOR

AWARD AMOUNT..... \$167,778

RES

BERKELEY, CA 94720

PERFORMING ORGANIZATION: UNIVERSITY OF CALIFORNIA BERKELEY

TITLE: CENTER ON THE DEMOGRAPHY AND ECONOMICS OF AGING

SUBTITLE: CORE--PROGRAM DEVELOPMENT

ABSTRACT:

Some members of the proposed Center are already engaged in aging related research funded by NIA or by other sources. However, some members are not currently working on aging related funded projects, but are interested in developing research and proposals in this area. This Core is intended to encourage, facilitate and support the development of new research lines and proposals to NIA. In accordance with the RFA, this Core will provide funding for research that is expected to lead to RO1 proposals to NIA within two years or less. This funding is an extremely important part of the Center, because it creates strong incentives for those members who are already working on aging to continue to do so; and for members and other faculty who have not yet begun working on aging to redirect their research toward aging-related topics. It will also permit scholars to be more innovative in their research directions, by allowing them the time and resources to explore new directions. Core pilot projects will also draw on the resources of the Administrative Core (programming, data access, etc.), and the evaluation and selection of potential projects for Core funding will be undertaken by the Advisory Committee in the Administration.

PROJECT NUMBER.....5 P01 AG08291-08

INVESTIGATOR NAME/ADDRESS

LILLARD, LEE A

RAND

AWARD AMOUNT..... \$624,786

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: SOCIAL AND ECONOMIC FUNCTIONING IN OLDER POPULATIONS

ABSTRACT:

This Program Project will undertake a comprehensive study of the social and economic functioning of older people in the context of a rapidly aging U.S. population. The unifying theme of this research is the dialectic of alternatives, constraints, and choices that affect elderly people's functioning, in four major dimensions of their lives: family ties and living arrangements, health, labor market participation and retirement, and financial status. Because the topics and issues of these categories are closely linked, they can be studied most effectively in a Program Project rather than in isolated studies. Because these links cross the boundaries of scientific disciplines, the project staff must be multidisciplinary, so that they can bring to bear the substance and formal tools of the various relevant academic fields. The Program Project will unite two important streams of aging research--demography and health--which usually remain separate.

Some of the Program Project's specific aims are to: produce a body of comprehensive research results that will substantially increase understanding of the social and economic functioning of elderly populations; foster an intellectually stimulating research environment by bringing together scholars from different disciplines with different perspectives on aging research; and provide the projects with management, administrative, and methodological support and communication links to ensure their cooperation and intellectual interaction.



PROJECT NUMBER.....5 P01 AG08291-08

INVESTIGATOR NAME/ADDRESS

LILLARD, LEE A

RAND

AWARD AMOUNT..... \$89,255

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: SOCIAL AND ECONOMIC FUNCTIONING IN OLDER POPULATIONS

SUBTITLE: CHILDREN'S KNOWLEDGE OF THEIR PARENTS' HEALTH

ABSTRACT:

Provision of long-term care for elderly persons who have become frail and dependent is one of our most pressing public policy issues. Because nursing home care is expensive it is especially important to understand the role of the family as an alternative source of care. The majority elderly who become dependent live in the community because of the support of family, yet little is known about how families, especially the adult children of the elderly, respond to the entire sequence of decline in health and functional status experienced by many elderly, from the point at which a parent first becomes dependent through to death.

This research will study children's knowledge of their parents' health and living arrangements, especially the time of nursing home entry, and thus investigate the quality of children's proxy information about their parents' health. The RAND Elderly Parents Supplement to the 1991 PSID presents a unique opportunity, because adult children report information about the family's response to the parents' changes in health and also serve as proxies in reporting the elderly parents' health, functional and economic status changes over time. Because the PSID panel has surveyed these families for two decades, (1) in many cases multiple children report information on the same parent, and (2) for another subset of parents there is also self-reported primary data from parents about their own health, functional, and socioeconomic status because the parents themselves are PSID household heads and spouses. This project will exploit this unique aspect of the data to study children's knowledge of their parents' age, education, health and living arrangement. In addition, we will explore whether the accuracy of children's knowledge is associated with covariates such as geographic proximity, education and parental financial resources.

PROJECT NUMBER.....5 P01 AG08291-08

INVESTIGATOR NAME/ADDRESS

LILLARD, LEE A

RAND

AWARD AMOUNT..... \$89,255

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: SOCIAL AND ECONOMIC FUNCTIONING IN OLDER POPULATIONS

SUBTITLE: HEALTH, HOUSEHOLD INCOME AND SAVING

ABSTRACT:

One of the triumphs of the twentieth century has been the extension of life. Paradoxically, living too long is one of the major concerns of the elderly. What does it mean to live too long? For the elderly, two critical concerns are health and the adequacy of financial assets. Although average life expectancy has increased dramatically, for any particular person the future remains uncertain -- both in terms of health and of the length of life itself. From this perspective, living too long means living in poor health and/or with inadequate resources to sustain prior consumption levels, the worst case being a long life of ill health and poverty. Health issues have been largely ignored in the literature on asset management and uncertain life. However, health is critical to saving and consumption decisions in several ways. First, it affects the capacity to work and earn income. Second, it affects the quality of life and the value of purchased goods. Third, although Medicare covers large portions of medical costs for the elderly, illness can still entail substantial out-of-pocket expenditures, especially for long-term care at older ages. Finally, a change in current health status is a signal which carries information about future health and mortality.

This subproject research focuses on the impact of health on the saving and consumption decisions of retirees. The decision unit which we investigate is a husband-wife household which pools the resources of its surviving members. We focus on the effects of the health of household members on the financial resources available to the household members through income and saving behavior. We study the dynamics of health, income and saving over time using panel data from the panel study of income dynamics.

PROJECT NUMBER.....5 P20 AG12815-04

INVESTIGATOR NAME/ADDRESS

LILLARD, LEE A

RAND

AWARD AMOUNT..... \$280,348

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: RAND CENTER FOR THE STUDY OF AGING

ABSTRACT:

RAND researchers have a long history of conducting research related to the demography and economics of health and aging both in the U.S. and developing countries. This proposal is to establish an Exploratory Center for research on demographic and economic aspects of health and aging at RAND. The overall goal of the exploratory center is to support the infrastructure necessary for research, new program development, and dissemination of new data available in the RAND Family Life Surveys (FL) to the research community at large, and dissemination of research findings to the policy community. The Administrative and Research Support Core A will provide overall administrative support for the Center and enhance the productivity and output of RAND research projects that study aging-related issues. The Core will be supported by a Director an Executive Committee consisting of four senior researchers, and by an Advisory Committee involving three experts in aging research and especially policy perspectives. Core A will enhance the productivity of research projects and facilitate the development of new research initiatives by supporting collegial interaction and enhanced information about new data and computing efficiency. The Program Development Core B will support the development of new research initiatives through small scale pilot projects which allow researchers to develop research ideas into peer-reviewed research proposals. This involves three pilot projects in the first two years and a selection process for subsequent years of the exploratory center. The External Research Resources Support and Dissemination Core D will disseminate information on new aging research capabilities using the RAND Family Life Survey (FL) databases. It will hold two professional conferences focusing on aging research using these data and in conjunction with the comparable HRS and AHEAD data. Core D will also support the synthesis of research findings from research projects into policy briefs and papers written specifically for the policy community.

PROJECT NUMBER.....5 P20 AG12815-04

INVESTIGATOR NAME/ADDRESS

LILLARD, LEE A

RAND

AWARD AMOUNT..... \$140,174

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: RAND CENTER FOR THE STUDY OF AGING

SUBTITLE: CORE--PROGRAM DEVELOPMENT

ABSTRACT:

The purpose of the Program Development Core is to support the development of new research and career development initiatives that will lead to high quality proposals. The mechanism for these developments is the support of small scale pilot projects. We propose three specific pilot projects in years 01 and 02 of the Center and describe the mechanism for selecting new ones in years 03-05.

Pilot Project 1 is to develop a proposal for submission as an R01 on "Income and Wealth Inequality Among the Elderly: Long-Run Socioeconomic Factors" by Drs. Lee Lillard, Lynn Karoly and Constantijn Panis. This pilot project proposes to explore the use of the Panel Study of Income Dynamics (PSID), the HRS, and the Asset and Health Dynamics (AHEAD) datasets to study the long term consequences of socioeconomic status, earning potential, living arrangements and marital history for wealth disparities among older Americans.

Pilot Project 3 is to develop a proposal for submission as a First AWARD on "Sources of Household Income and Black-White Differences in Living Arrangements of Impaired Elderly" by Dr. Raynard Kington. This pilot project will explore use of the PSID and AHEAD datasets to study income and its distribution among family members as a potential explanation of black/white differences in nursing home utilization and predominant living arrangements.

Subsequent pilot projects beyond the first two years will be selected by the Executive Committee of the Center, based on a competition among submissions from Center researchers. All pilot projects to be initiated are subject to approval by NIA staff.

PROJECT NUMBER.....5 P20 AG12815-04

INVESTIGATOR NAME/ADDRESS

LILLARD, LEE A

RAND

AWARD AMOUNT..... \$140,174

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: RAND CENTER FOR THE STUDY OF AGING

SUBTITLE: CORE--EXTERNAL RESEARCH RESOURCES SUPPORT AND DISSEMINATION

ABSTRACT:

The purpose of the External Resources Support and Dissemination Core is to disseminate research resources and findings from the Center to scientific and policy communities. The Core proposes the following activities:

1. Facilitate the dissemination and use of the RAND Family Life Surveys (FLSs) to the scientific community. We will exploit two mechanisms. First, we will develop a state-of-the-art electronic information and access service. Second, there currently exists an FL newsletter, and the Core will bring out one special issue per year for the newsletter which will be dedicated to topics on aging.
2. Organize a conference in year 02 of the Center, focusing on research using the FL surveys for aging-related research.
3. Disseminate information about a number of areas of comparable measurements in the FL survey, the Health and Retirement Survey (HRS), and the Asset and Health Dynamics of the oldest-old (AHEAD) survey. These include health, income and wealth, family structure and support mechanisms, and intergenerational transfers.
4. To organize a conference in year 04, focusing on U.S.-Asia international comparative research on aging issues. Papers would use the FL surveys in combination with the HRS and AHEAD surveys.
5. To provide resources for researchers to have access to a RAND communications analyst to facilitate the synthesis of results into policy briefs and policy-oriented papers more accessible to the Federal government and the policy making community.

PROJECT NUMBER.....5 P01 AG08761-08

INVESTIGATOR NAME/ADDRESS

MANTON, KENNETH

DUKE UNIVERSITY

AWARD AMOUNT..... \$259,663

BOX 90245

DURHAM, NC 27708-0245

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: OLDEST-OLD MORTALITY--DEMOGRAPHIC MODELS AND ANALYSES

SUBTITLE: STATISTICAL DEVELOPMENT

ABSTRACT:

In this project we develop models for the analysis of the Danish Twins disability data and for analyzing the positively restricted spectra of the joint disability failure time distributions of the insect experiments. In addition, we will examine the dynamic equilibrium of disability and mortality in a multivariate stochastic diffusion process generalized for convexly bounded state spaces. These developments are further evolution of methods, model and analytic procedures we have successfully applied to other longitudinal data sets containing long-term follow-up of a rich state space for human populations (e.g., Framingham;1982, 1984, 1989 NLTCS). In none of those studies did we deal explicitly with genetic variation though the models were constructed in a general enough way so that the mathematical representation (and statistical estimation of parameters) of genetic effects only required the availability of appropriate genetic data. There are a total of four aims to be covered.

4. Aid in the design and implementation of the longitudinal Danish Twin Study; calculation of variance optimized design; development of appropriate sample weights; analyses and evaluation of left and right censoring effects.
5. Analysis of the data from the Danish Twin Study of ascertain the genetic contributions to a multivariate functional status stochastic process which interacts with mortality.
6. Development of spectral analysis techniques for the two sets of insect data which are constrained to the positive quadrant for joint disability state transition/mortality processes.
7. Evaluation of dynamic equations of disability and mortality in determining the shape of mortality at late ages.

PROJECT NUMBER.....5 P20 AG12852-04

INVESTIGATOR NAME/ADDRESS

MANTON, KENNETH G

DUKE UNIVERSITY

2117 CAMPUS DRIVE

DURHAM, NC 27708

AWARD AMOUNT..... \$354,718

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: CENTER FOR LONGITUDINAL ANALYSIS IN MEDICAL DEMOGRAPHY

ABSTRACT:

This Center proposal is to request infrastructure, networking, administrative, and pilot project support to make a large number of NIA research projects ongoing at the Center for Demographic Studies (CDS) more cost effective, to more widely disseminate the technical products of the research, and to plan and extend the scope of research activities at the Center. This proposal builds on over 20 years of productive research conducted at CDS -- most for the National Institute on Aging.

The substantive areas that the Center project will focus on or relate to the estimation and forecasting of active life expectancy (ALE) (i.e., the modeling of changes in the morbidity, disability, and mortality of the U.S. elderly and oldest-old population over time), the development of medical demography, the examination of how changes in ALE might be influenced by interventions in nutrition and physical activity, how changes in ALE are influenced by the provision of acute and LTC health services, how those relations might be affected by different versions of health care reform, and how special population groups (e.g., the oldest-old, minorities, women) might be differentially impacted by such changes.

The research team assembled is experienced and represents many disciplines: demographers, medical sociologists, actuaries, policy analysts, health economists, biologists, genetic epidemiologists, biomathematicians, and biostatisticians. It has a strong record in both methodological development as well as substantive research.

As an instrument to organize Center activities it is proposed that four core activities be performed; two mandatory (an administrative core and a program development pilot project core) and two optional (a networking and a research resource dissemination core).

The Center grant will build upon a number of basic data and methodological assets developed at CDS. In particular the 1982, 1984, 1989, and 1994 NLTCs data base will be further developed for both internal research (e.g., investigation of home care) and external use. In addition, certain software systems will be disseminated. The Center will take advantage of a well established hardware and software computing infrastructure and support from university resources for our activities.

PROJECT NUMBER.....5 P20 AG12852-04

INVESTIGATOR NAME/ADDRESS

MANTON, KENNETH G

DUKE UNIVERSITY

2117 CAMPUS DRIVE

DURHAM, NC 27708

AWARD AMOUNT..... \$118,239

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: CENTER FOR LONGITUDINAL ANALYSIS IN MEDICAL DEMOGRAPHY

SUB TITLE: CORE--PROGRAM DEVELOPMENT

ABSTRACT:

This core contains examples of the pilot projects that would be developed preparatory to initiating new research activities. These pilot projects can be of several different types. They could involve conferences directed to stimulate specific areas of research, analytic projects, and projects to assess the quality of certain types of data. There are six pilot projects presented.

The first is a conference on LTC policy that would be designed to foster early use of the 1994 NLTCs data set. A number of economic, health service, demographic, and other issues will be addressed. It is anticipated that both a monograph and a special journal issue would result from the project.

The second is a study of methods to collect data on home health care suppliers. If the survey methodology worked out it would be used to gather such data on a national basis.

The third project is an analytic project that could lead to the development of a dynamic programming model where health status and investment in home health care interact.

The fourth project is to assess methods to make estimates of active life expectancy from multiple data sets where the overall health transitions are only partially observed.

The fifth project is to assess the ability to assess the cost of illness using Medicare and Medicaid data linked to NLTCs survey records.

The sixth project is primary demographic. It would assess the quality of age reporting and cause of death reporting at advanced ages.

Comparison would be made of Medicare and self-reported ages with ages reported on birth and death certificates collected from state vital statistics.

In addition to the six projects, representing a range of projects that could be conducted in the first two years of the project a series of five working groups will be developed to foster the development of projects in years 3-5. The topics they represent are: women's health, active life expectancy, LTC needs of the elderly population. The biological basis for mortality and health changes at late age and International Comparative Studies of Aging Changes.



PROJECT NUMBER.....5 P20 AG12852-04

INVESTIGATOR NAME/ADDRESS

MYERS, GEORGE C

DUKE UNIVERSITY

2117 CAMPUS DRIVE

DURHAM, NC 27708

AWARD AMOUNT..... \$118,239

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: CENTER FOR LONGITUDINAL ANALYSIS IN MEDICAL DEMOGRAPHY

SUB TITLE: CORE--EXTERNAL INNOVATIVE NETWORK

ABSTRACT:

The purpose of this core is to develop networking between groups of investigators involved in research on related areas of aging. The Center for Demographic Studies is fortunate to have collaborative arrangements with a number of groups that would form the basis for such networking activities. The first two network groups (ODEN and the group developed by Professor Myers on longitudinal studies) involve the development of jointly sponsored conferences. The contributions from the collaborating institution for the conferences with the Odense School of Medicine and the organizations collaborating with Professor Myers thus represent "leveraging" of NIA funds to support more extensive networking.

The first network (ODEN) involves the aging research unit at the Odense Medical School in Denmark and CDS. The primary activity of the network would be to foster multidisciplinary research by sponsoring a series of four workshops on the oldest-old. Two would be held in Denmark and supported by the Danish Research Council. Two would be held at CDS and would be supported by this Center project.

A second network would be created by selected investigators from the REVES group who are attempting to conduct longitudinal studies. These workshops would be sponsored, one at Duke, one in Italy, and one in Geneva, Switzerland by the ECE. The topics of the workshops would be to develop longitudinal studies, and their analysis, in a coordinated fashion.

The third networking activity, with researchers from Syracuse University (Professor Doug Wolf), would be to develop forecasting models of U.S. LTC needs. This project will be supported by an NIA project with researchers at CDS having responsibility for developing the health transition model from the 1982, 1984, 1989, and 1994 NLTCs.

The fourth networking activity is with WHO as their coordinating center for the development of health forecasts.

The fifth activity would be the collaboration with SOLON, Inc., on the development of specialized data dissemination and analytic software.

PROJECT NUMBER.....5 P20 AG12852-04

INVESTIGATOR NAME/ADDRESS  
WOODBURY, MAX A  
DUKE UNIVERSITY  
2117 CAMPUS DRIVE  
DURHAM, NC 27708

AWARD AMOUNT..... \$118,239

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: CENTER FOR LONGITUDINAL ANALYSIS IN MEDICAL DEMOGRAPHY

SUB TITLE: CORE--EXTERNAL RESEARCH RESOURCES SUPPORT AND DISSEMINATION

ABSTRACT:

This Core D is designed to disseminate and provide technical support for a number of basic research resources for the aging research community in general. This is done in a series of five basic tasks -- all of them related through the use of an intelligent electronic bulletin board system for data and software dissemination and for providing documentation for the items disseminated.

The first task is to disseminate the 1982, 1984, 1989, and 1994 NLTCS linked to Medicare Part A and B service use files. This data base will contain considerable technical documentation on issues such as measurement, nonresponse, and sample weight calculations. The data base will be updated as the file is modified with additional data, or the technical results of various research activities.

The second task is to disseminate information on, and the results of, several different health forecasting activities. This dissemination will include both additional results of forecasting efforts that are too detailed and extensive to put into journals and access to a selected set of health forecasting programs that will allow interactive modeling sessions. In addition, we will provide the necessary technical support for such activities.

The third task involves disseminating both a version of Grade of Membership software and an intelligent bulletin board system that will guide new users through the use of the program in specific applications. Both cross sectional and longitudinal forms of the GOM model will be available.

The fourth task is to develop a journal on the demography of aging to provide more rapid dissemination of research results used to fill a substantive area not currently covered by demographic or gerontological journals.

The fifth task is to assemble, in a data base, a number of technical reports and tables that can be accessed through the bulletin board system.

The bulletin board system will also have functions in supporting other activities such as data base transfers for the ODEN networking project described in Myers' Core. The bulletin board system will be managed by Professors Woodbury and Lowrimore, each of whom have extensive computer science backgrounds. They will monitor development in interactive software systems so that innovation in the system can be made as they emerge.

PROJECT NUMBER.....5 P20 AG12836-04

INVESTIGATOR NAME/ADDRESS  
MC DANIEL, ANTONIO  
UNIVERSITY OF PENNSYLVANIA  
3718 LOCUST WALK /239 MC NEIL  
PHILADELPHIA, PA 19104-6298

AWARD AMOUNT..... \$59,340

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA  
TITLE: CENTER ON THE DEMOGRAPHY OF AGING  
SUB TITLE: CORE--EXTERNAL INNOVATIVE NETWORK

ABSTRACT:

0 SUBPROJECT ABSTRACT NOT AVAILABLE. PARENTABSTRACT:

The Population Studies Center (PSC) of the University of Pennsylvania plans to extend its program in the demography and economics of health and aging by establishing a new NIA Exploratory Demography Center (P20) specifically devoted to such research, the Population Aging Research Center (PARC). PSC research emphasizes three areas that will be the scientific themes of PARC: (i) intergenerational exchanges associated with population aging, (ii) aging in disadvantaged populations, and (iii) medical demography. Establishment of PARC will take advantage of substantial existing intellectual capital and experience to advance further and to foster research on issues of critical importance to understanding demographic and economic aspects of health and aging, to the development of policy responses to an aging population, and to the welfare of aging members of the population, their families, and others responsible for their well-being. The specific aims of PARC include:

1. To provide general research supports so that the strong ongoing research can be further strengthened and expanded in the three areas of (i) intergenerational exchanges associated with population aging, (ii) aging in disadvantaged populations, and (iii) medical demography.
2. To provide support for exploratory research in the form of pilot projects, selected by competitive review, that will build upon PSC's existing internal research competition structure to encourage a flow of new research initiatives and R01 proposals related to the three basic scientific themes and related topics that may evolve in the future.
3. To establish an Administrative and Research Support Core for research in the demography and economics of health and aging with a Center Director and an Advisory Committee (including some members from outside of Penn) (i) to plan, coordinate, review and manage PARC's activities (including the selection and funding of pilot studies) and (ii) to provide equipment and information support services that offer general research support for studies in the demography and economics of health and aging.
4. To establish an External Innovative Network Core that encourage development of minority researchers through workshops and mentoring relationships.
5. To establish an External Resources Support and Dissemination Core that will (i) disseminate electronically information about new data sets and methodologies developed at PARC, (ii) develop and distribute a periodic newsletter and policy briefs with well-synthesized research results on the demography and economics of health and aging targeted to the Federal government, the scientific community and the policy-making community, and an annual report, and (iii) make available electronically the PARC scientific working papers on the demography and economics of health and aging.

PROJECT NUMBER.....5 P20 AG12836-04

INVESTIGATOR NAME/ADDRESS  
MENKEN, JANE A  
UNIVERSITY OF PENNSYLVANIA  
3718 LOCUST WALK /239 MC NEIL  
PHILADELPHIA, PA 19104-6298

AWARD AMOUNT..... \$59,340

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA

TITLE: CENTER ON THE DEMOGRAPHY OF AGING

SUB TITLE: CORE--EXTERNAL RESOURCES SUPPORT AND DISSEMINATION

ABSTRACT:

0 SUBPROJECT ABSTRACT NOT AVAILABLE. PARENTABSTRACT:

The Population Studies Center (PSC) of the University of Pennsylvania plans to extend its program in the demography and economics of health and aging by establishing a new NIA Exploratory Demography Center (P20) specifically devoted to such research, the Population Aging Research Center (PARC). PSC research emphasizes three areas that will be the scientific themes of PARC: (i) intergenerational exchanges associated with population aging, (ii) aging in disadvantaged populations, and (iii) medical demography. Establishment of PARC will take advantage of substantial existing intellectual capital and experience to advance further and to foster research on issues of critical importance to understanding demographic and economic aspects of health and aging, to the development of policy responses to an aging population, and to the welfare of aging members of the population, their families, and others responsible for their well-being. The specific aims of PARC include:

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2. To provide support for exploratory research in the form of pilot projects, selected by competitive review, that will build upon PSC's existing internal research competition structure to encourage a flow of new research initiatives and R01 proposals related to the three basic scientific themes and related topics that may evolve in the future.
3. To establish an Administrative and Research Support Core for research in the demography and economics of health and aging with a Center Director and an Advisory Committee (including some members from outside of Penn) (i) to plan, coordinate, review and manage PARC's activities (including the selection and funding of pilot studies) and (ii) to provide equipment and information support services that offer general research support for studies in the demography and economics of health and aging.
4. To establish an External Innovative Network Core that encourage development of minority researchers through workshops and mentoring relationships.
5. To establish an External Resources Support and Dissemination Core that will (i) disseminate electronically information about new data sets and methodologies developed at PARC, (ii) develop and distribute a periodic newsletter and policy briefs with well-synthesized research results on the demography and economics of health and aging targeted to the Federal government, the scientific community and the policy-making community, and an annual report, and (iii) make available electronically the PARC scientific working papers on the demography and economics of health and aging.

PROJECT NUMBER.....5 P20 AG12836-04

INVESTIGATOR NAME/ADDRESS  
PRESTON, SAMUEL H  
UNIVERSITY OF PENNSYLVANIA  
3718 LOCUST WALK /239 MC NEIL  
PHILADELPHIA, PA 19104-6298

AWARD AMOUNT..... \$178,019

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA  
TITLE: CENTER ON THE DEMOGRAPHY OF AGING

ABSTRACT:

The Population Studies Center (PSC) of the University of Pennsylvania plans to extend its program in the demography and economics of health and aging by establishing a new NIA Exploratory Demography Center (P20) specifically devoted to such research, the Population Aging Research Center (PARC). PSC research emphasizes three areas that will be the scientific themes of PARC: (i) intergenerational exchanges associated with population aging, (ii) aging in disadvantaged populations, and (iii) medical demography. Establishment of PARC will take advantage of substantial existing intellectual capital and experience to advance further and to foster research on issues of critical importance to understanding demographic and economic aspects of health and aging, to the development of policy responses to an aging population, and to the welfare of aging members of the population, their families, and others responsible for their well-being. The specific aims of PARC include:

1. To provide general research supports so that the strong ongoing research can be further strengthened and expanded in the three areas of (i) intergenerational exchanges associated with population aging, (ii) aging in disadvantaged populations, and (iii) medical demography.
2. To provide support for exploratory research in the form of pilot projects, selected by competitive review, that will build upon PSC's existing internal research competition structure to encourage a flow of new research initiatives and R01 proposals related to the three basic scientific themes and related topics that may evolve in the future.
3. To establish an Administrative and Research Support Core for research in the demography and economics of health and aging with a Center Director and an Advisory Committee (including some members from outside of Penn) (i) to plan, coordinate, review and manage PARC's activities (including the selection and funding of pilot studies) and (ii) to provide equipment and information support services that offer general research support for studies in the demography and economics of health and aging.
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PROJECT NUMBER.....5 P20 AG12836-04

INVESTIGATOR NAME/ADDRESS  
PRESTON, SAMUEL H  
UNIVERSITY OF PENNSYLVANIA  
3718 LOCUST WALK /239 MC NEIL  
PHILADELPHIA, PA 19104-6298

AWARD AMOUNT..... \$59,340

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA  
TITLE: CENTER ON THE DEMOGRAPHY OF AGING  
SUB TITLE: CORE--PROGRAM DEVELOPMENT

ABSTRACT:

0 SUBPROJECT ABSTRACT NOT AVAILABLE. PARENTABSTRACT:

The Population Studies Center (PSC) of the University of Pennsylvania plans to extend its program in the demography and economics of health and aging by establishing a new NIA Exploratory Demography Center (P20) specifically devoted to such research, the Population Aging Research Center (PARC). PSC research emphasizes three areas that will be the scientific themes of PARC: (i) intergenerational exchanges associated with population aging, (ii) aging in disadvantaged populations, and (iii) medical demography. Establishment of PARC will take advantage of substantial existing intellectual capital and experience to advance further and to foster research on issues of critical importance to understanding demographic and economic aspects of health and aging, to the development of policy responses to an aging population, and to the welfare of aging members of the population, their families, and others responsible for their well-being. The specific aims of PARC include:

1. To provide general research supports so that the strong ongoing research can be further strengthened and expanded in the three areas of (i) intergenerational exchanges associated with population aging, (ii) aging in disadvantaged populations, and (iii) medical demography.
2. To provide support for exploratory research in the form of pilot projects, selected by competitive review, that will build upon PSC's existing internal research competition structure to encourage a flow of new research initiatives and R01 proposals related to the three basic scientific themes and related topics that may evolve in the future.
3. To establish an Administrative and Research Support Core for research in the demography and economics of health and aging with a Center Director and an Advisory Committee (including some members from outside of Penn) (i) to plan, coordinate, review and manage PARC's activities (including the selection and funding of pilot studies) and (ii) to provide equipment and information support services that offer general research support for studies in the demography and economics of health and aging.
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5. To establish an External Resources Support and Dissemination Core that will (i) disseminate electronically information about new data sets and methodologies developed at PARC, (ii) develop and distribute a periodic newsletter and policy briefs with well-synthesized research results on the demography and economics of health and aging targeted to the Federal government, the scientific community and the policy-making community, and an annual report, and (iii) make available electronically the PARC scientific working papers on the demography and economics of health and aging.

PROJECT NUMBER.....5 P20 AG12844-04

INVESTIGATOR NAME/ADDRESS

NATHANSON, CONSTANCE A

JOHNS HOPKINS UNIVERSITY

AWARD AMOUNT..... \$126,028

615 N WOLFE STREET

BALTIMORE, MD 21205

PERFORMING ORGANIZATION: JOHNS HOPKINS UNIVERSITY

TITLE: HOPKINS CENTER ON THE DEMOGRAPHY OF AGING

ABSTRACT:

In response to RFA AG-94-005, "Centers for the Demography of Aging," this proposal requests exploratory Center Grant funds to establish the Hopkins Center for the Demography of Aging (HCDA). HCDA will focus on three scientific themes relevant to the demography of aging: 1) the modeling of transition probabilities between disease, disability, and retirement; 2) the impact of social characteristics on functional status and mortality; 3) the economic and social dynamics of intergenerational transfers.

The HCDA will bring together a multidisciplinary group of investigators, including demographers, economists, sociologists, epidemiologists, and biostatisticians, all of whom are actively engaged in population-based research in aging. This research activity is reflected in the 12 projects proposed to qualify the Center (of which 6 are currently funded by NIA) and in the already substantial publication record of proposed Center investigators. Location of a Center for the Demography of Aging at Johns Hopkins offers a unique opportunity for broad cross-disciplinary research in the demography of aging.

Two Cores, an Administrative and Research Support Core and a Program Development Core are proposed. The Administrative Core will build directly on the existing research support infrastructure of the Hopkins Population Center (HPC), an arrangement that will contribute materially to the efficient and effective use of HCDA resources. HCDA administration will overlap with that of HPC, taking maximum advantage of HPC experience with NIH Center management. Major new activities proposed to support HCDA research are a Data Archive and an Information Specialist to facilitate intra-HCDA communication and collaboration. Activities to be supported under the Program Development Core are the recruitment of a junior tenure-track faculty member in the demography of aging and two pilot projects, "Patterns of Intergenerational Transfers in Disabled Populations," and "Implications of Alternative Specifications of Active Life."

PROJECT NUMBER.....5 P20 AG12844-04

INVESTIGATOR NAME/ADDRESS

NATHANSON, CONSTANCE A

JOHNS HOPKINS UNIVERSITY

615 N WOLFE STREET

BALTIMORE, MD 21205

AWARD AMOUNT..... \$126,028

PERFORMING ORGANIZATION: JOHNS HOPKINS UNIVERSITY

TITLE: HOPKINS CENTER ON THE DEMOGRAPHY OF AGING

SUB TITLE: CORE--PROGRAM DEVELOPMENT

ABSTRACT:

0 SUBPROJECT ABSTRACT NOT AVAILABLE. PARENTABSTRACT:

In response to RFA AG-94-005, "Centers for the Demography of Aging," this proposal requests exploratory Center Grant funds to establish the Hopkins Center for the Demography of Aging (HCDA). HCDA will focus on three scientific themes relevant to the demography of aging: 1) the modeling of transition probabilities between disease, disability, and retirement; 2) the impact of social characteristics on functional status and mortality; 3) the economic and social dynamics of intergenerational transfers.

The HCDA will bring together a multidisciplinary group of investigators, including demographers, economists, sociologists, epidemiologists, and biostatisticians, all of whom are actively engaged in population-based research in aging. This research activity is reflected in the 12 projects proposed to qualify the Center (of which 6 are currently funded by NIA) and in the already substantial publication record of proposed Center investigators. Location of a Center for the Demography of Aging at Johns Hopkins offers a unique opportunity for broad cross-disciplinary research in the demography of aging.

Two Cores, an Administrative and Research Support Core and a Program Development Core are proposed. The Administrative Core will build directly on the existing research support infrastructure of the Hopkins Population Center (HPC), an arrangement that will contribute materially to the efficient and effective use of HCDA resources. HCDA administration will overlap with that of HPC, taking maximum advantage of HPC experience with NIH Center management. Major new activities proposed to support HCDA research are a Data Archive and an Information Specialist to facilitate intra-HCDA communication and collaboration. Activities to be supported under the Program Development Core are the recruitment of a junior tenure-track faculty member in the demography of aging and two pilot projects, "Patterns of Intergenerational Transfers in Disabled Populations," and "Implications of Alternative Specifications of Active Life."



PROJECT NUMBER.....5 P20 AG12857-04

INVESTIGATOR NAME/ADDRESS  
OLSHANSKY, S JAY  
POPULATION RESEARCH CENTER  
1155 E 60TH STREET  
CHICAGO, IL 60637

AWARD AMOUNT..... \$70,634

PERFORMING ORGANIZATION: NATIONAL OPINION RESEARCH CENTER  
TITLE: CENTER ON DEMOGRAPHY AND ECONOMICS OF AGING (COA)  
SUB TITLE: CORE--EXTERNAL INNOVATIVE NETWORK

ABSTRACT:

The specific aim of the external innovative network core is to organize an annual workshop on aging. A workshop is being proposed because it will result in the broader dissemination of research findings, encourage the formation of collaborative research ties across disciplines and institutions, enhance the profile of the new Center on Aging (CoA) both at the University and elsewhere, promote the understanding of aging-related issues, and draw students and faculty at the University into the field of aging. Each workshop will focus on ongoing research on aging among faculty and students at the University of Chicago and on one or more aging-related topics that represent a strength of other institutions or an area of research of interest to faculty and students at the CoA.

PROJECT NUMBER.....5 P20 AG12857-04

INVESTIGATOR NAME/ADDRESS  
WAITE, LINDA J  
POPULATION RESEARCH CENTER  
1155 E 60TH STREET  
CHICAGO, IL 60637

AWARD AMOUNT..... \$211,902

PERFORMING ORGANIZATION: NATIONAL OPINION RESEARCH CENTER  
TITLE: CENTER ON DEMOGRAPHY AND ECONOMICS OF AGING (COA)

ABSTRACT:

This proposal requests funding for an Exploratory Center on Aging at the University of Chicago and NORC. This Center will build on and expand Chicago's research strengths in the demography, biodemography and economics of aging.

We request support for: 1) an Administrative and Research Support Core (Core A), which includes a Data Archive and support for NIA topics in the ongoing Demography Workshop; 2) a Program Development Core (Core B), which will support both small-scale, pilot projects and salary support for junior faculty in the demography, biodemography and/or economics of aging; 3) an External Innovative Network Core (Core C), which includes a series of workshops and conferences; 4) an External Research Resources Support and Dissemination Core (Core D), which includes support of unique data sets and software to the internal and external research communities; a biweekly training seminar on various datasets used in aging research; dissemination of working papers and other significant research findings.

PROJECT NUMBER.....5 P20 AG12857-04

INVESTIGATOR NAME/ADDRESS  
WAITE, LINDA J  
POPULATION RESEARCH CENTER  
1155 E 60TH STREET  
CHICAGO, IL 60637

AWARD AMOUNT..... \$70,634

PERFORMING ORGANIZATION: NATIONAL OPINION RESEARCH CENTER  
TITLE: CENTER ON DEMOGRAPHY AND ECONOMICS OF AGING (COA)  
SUB TITLE: CORE--PROGRAM DEVELOPMENT

ABSTRACT:

Although the University of Chicago has outstanding faculties in demography, medicine, and economics, the three primary disciplines supplying researchers with interests that mesh with those of the proposed Center on Aging, Chicago has a modest number of scholars with active projects in the appropriate areas. The proposed Program Development core requests funding to increase the amount of research in the demography, biodemography, and economics of aging. These funds will be used to encourage faculty members already at Chicago to begin or expand their research program in these topics. Second, we propose funding for partial salary support for new junior faculty appointment of individuals with interests and experience in these topics. The first strategy attempts to increase focus on CoA topics among existing researchers, the second to add directly to the number of researchers with interests in aging.

PROJECT NUMBER.....5 P20 AG12857-04

INVESTIGATOR NAME/ADDRESS  
WILLIS, ROBERT J  
POPULATION RESEARCH CENTER  
1155 E 60TH STREET  
CHICAGO, IL 60637

AWARD AMOUNT..... \$70,634

PERFORMING ORGANIZATION: NATIONAL OPINION RESEARCH CENTER

TITLE: CENTER ON DEMOGRAPHY AND ECONOMICS OF AGING (COA)

SUB TITLE: CORE--EXTERNAL RESEARCH RESOURCES SUPPORT AND DISSEMINATION

ABSTRACT:

The External Research Resources Support and Dissemination Core is a logical extension of the main activities of the Center on Aging and builds upon activities and methodologies fostered by the Population Research Center. Our proposal focuses on the interrelated themes of the synthesis and distribution of information. Funding for this core will be used to sponsor an ongoing training seminar on the uses and availability of new datasets on aging. In addition, we request funds to support archival and distribution operations for newly collected or significantly enhanced data that result from our pilot projects or independently funded research. An additional side benefit of this activity will include online, digitized codebooks that can be accessed via the Internet and viewed with a graphic interface such as NCSA's Mosaic. Internet interfaces such as gopher and Mosaic will also be employed as the vehicle for distributing the Center on Aging's Discussion Paper Series.

PROJECT NUMBER.....5 P20 AG12837-04

INVESTIGATOR NAME/ADDRESS  
WOLF, DOUGLAS A  
CENTER FOR POLICY RESEARCH  
426 EGGERS HALL  
SYRACUSE, NY 13244-1090

AWARD AMOUNT..... \$268,707

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE  
TITLE: CENTER FOR DEMOGRAPHY AND ECONOMICS OF AGING

ABSTRACT:

Syracuse University proposes to found a Center for Demography and Economics of Aging to coordinate and support existing research and training activities in aging; facilitate and promote a network of faculty and student research in aging; and convene workshops, seminars and conferences intended to train data users and disseminate research. The Center will be housed within the Center for Policy Research (CPR), an existing research unit of the Maxwell School of Citizenship and Public Affairs. The research staff of the Center will be drawn initially from the economics and public administration faculties of the Maxwell School, and will include graduate students and postdoctoral fellows conducting research in aging. The proposed Center will organize its efforts around three core tasks: an Administrative Core, a Program Development Core, and an External Research Resources Support and Dissemination Core.

Research already underway at CPR, planned projects, and the projects we propose for the Program Development Core, constitute an extensive but well-focused and thematically integrated agenda of research and training in aging. Overall, the approaches taken in these projects share one or more of the following major themes: a recognition of the value of comparative studies, a commitment to policy relevance especially policy outcome as they relate to older women, and the use of best-practice methodologies in addressing substantive research questions in aging. An important methodological focus of the proposed Center will be the development and application of microsimulation methodology to research and public policy issues.

PROJECT NUMBER.....5 P20 AG12837-04

INVESTIGATOR NAME/ADDRESS  
WOLF, DOUGLAS A  
CENTER FOR POLICY RESEARCH  
426 EGGERS HALL  
SYRACUSE, NY 13244-1090

AWARD AMOUNT..... \$134,354

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE  
TITLE: CENTER FOR DEMOGRAPHY AND ECONOMICS OF AGING  
SUB TITLE: CORE--PROGRAM DEVELOPMENT

ABSTRACT:

The Program Development Core will provide initial support for new research projects in the demography and economics of aging. These projects are intended to build linkages among, and expand upon, the themes and substantive areas of our ongoing research; to extend the "reach" and interdisciplinary nature of the Center's work, providing support to faculty in new disciplines or departments; and, to help develop the research careers of pre- and post-doctoral students with interests in the demography and economics of aging.

PROJECT NUMBER.....5 P20 AG12837-04

INVESTIGATOR NAME/ADDRESS  
WOLF, DOUGLAS A  
CENTER FOR POLICY RESEARCH  
426 EGGERS HALL  
SYRACUSE, NY 13244-1090

AWARD AMOUNT..... \$134,354

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE

TITLE: CENTER FOR DEMOGRAPHY AND ECONOMICS OF AGING

SUB TITLE: CORE--EXTERNAL RESEARCH RESOURCES SUPPORT AND DISSEMINATION

ABSTRACT:

An important function of our Center for Demography and Economics of Aging will be outreach, including communicating research findings to other researchers, distributing and promoting the use of the data resources we have helped develop, and linking the policy implications of our findings to the policy analysis and policy formulation communities concerned with issues relating to population aging and the well-being of the elderly. This Core will undertake several outreach tasks. These will include the production and dissemination of several publications series, and the convening of a series of data training, research, and policy-oriented workshops and conferences.

The specific aims will be to:

1. Disseminate an Aging Studies Papers series, encompassing the existing Cross-National Studies in Aging working papers and a new Technical Papers in Microsimulation series;
2. Produce and distribute an occasional Policy Briefs series, in which policy issues are discussed in generally accessible language. These widely disseminated papers will draw on the research and insights of Center staff and others;
3. Publish a Center Newsletter; and
4. Organize workshops that promote access to and use of the public-use data sources we have created; that discuss research findings in areas related to the Center's work; and that engage the policymaking community in discussions of the implications of research and of new research methodologies for the policy formulation and planning processes.

# **Health and Retirement Economics**



PROJECT NUMBER.....5 R01 AG11725-03

INVESTIGATOR NAME/ADDRESS  
BEHRMAN, JERE R  
UNIVERSITY OF PENNSYLVANIA  
3718 LOCUST WALK  
PHILADELPHIA, PA 19104-6297

AWARD AMOUNT..... \$222,984

PERFORMING ORGANIZATION: UNIVERSITY OF PENNSYLVANIA

TITLE: INTRAFAMILY RESOURCE ALLOCATIONS AND THEIR CONSEQUENCES

ABSTRACT:

This project will exploit the "natural experiment" of twin births based on a newly-collected sample of approximately 7,000 male and female identical and non-identical twins born in Minnesota. Models of intrafamily allocation, assortative mating, and intergenerational interactions will be applied to the new data, which contain contemporaneous and retrospective information about the twins, their spouses and their children and parents and permit for the first time separate analyses of female twins. The models incorporate (i) differences among individuals in innate or endowed labor market skills and health that may be intergenerationally correlated, (ii) assortative mating by observed and unmeasured traits, (iii) multiple dimensions of schooling, (iv) multiple dimensions of child endowments, (v) adult child-parental interactions, (vi) measurement error, and (vii) dependence of investments in the human resources of any one child in a family on its own endowments and on the endowments of other children in the family. The project will yield estimates of (i) the effects of endowments on school investments, on work experience, on marital sorting, on family size and child human capital, on personal interactions between adults and their parents, and on parental-child financial transfers and (ii) the effects of the amount and quality of schooling and health-related behaviors on own health and own fertility, on the characteristics of marital mates, on attention paid to one's parents and transfers received from and given to one's parents, and on children's health that are better than any available in the literature. The applications will yield insights into the importance of heterogeneity in endowments in biasing estimates of schooling relationships, assortative mating and intergenerational interactions generally in determining child outcomes. The estimates will also permit comparisons of the impact of male and female schooling on a range of outcomes, including earnings, work histories and the health and education for sons versus daughters. The results of the project will provide important information on both substantive and methodological issues concerning household behavior, the determinants and consequences of schooling, and intergenerational family linkages that are important for understanding the intergenerational transmission of equality and for evaluating the consequences of schooling policy.

PROJECT NUMBER.....1 R41 AG13582-01A2

INVESTIGATOR NAME/ADDRESS  
BERNHEIM, B D  
ECONO. SECUR. PLANNING INC

AWARD AMOUNT..... \$95,417

STANFORD, CA 94305

PERFORMING ORGANIZATION: ECONOMIC SECURITY PLANNING, INC.

TITLE: RESEARCH ON NEW METHODS OF RETIREMENT PLANNING

ABSTRACT:

Most Americans appear to make poor financial plans and are ill-equipped to formulate, on their own, appropriate saving and insurance plans. Unfortunately, existing tools of financial planning are seriously deficient. They lack a sound conceptual framework and often provide extremely poor advice (e.g., spend rather than save bonuses). Economic Security Planning, Inc., is conducting research to develop a commercially viable retirement saving and life insurance software product called ESPLanner TM which is based on a radically different planning technique than that now being used by the financial planning community. ESPLanner TM balances pre-and post retirement living standards in calculating the highest financially sustainable living standard available to each household. An initial prototype of ESPLanner TM is complete (and is enclosed), but additional research is needed to produce a final prototype.

This revised proposal addresses the concerns of the review panel. It clarifies that the project's central goal is to produce a commercially viable software product and describes the precise nature of the product. It makes precise the specific aims of Phases I and II and the manner in which Phase I results will be evaluated. It clarifies the key roles to be played by Bernheim and Kotlikoff in assisting the PI in PERFORMING project tasks.

PROPOSED COMMERCIAL APPLICATION: Applications include software sales to retirement planners, life insurance agents, and other financial professionals, institutional adoption by employers (such as 401K plan sponsors) and ultimately retail software sales to individual households. Through these commercial channels, the software product has the potential to significantly improve financial decisions that affect the adequacy of preparation for retirement.

PROJECT NUMBER.....5 R01 AG13406-03

INVESTIGATOR NAME/ADDRESS

BLAU, DAVID M

UNIV OF NORTH CAROLINA

123 W FRANKLIN STREET

CHAPEL HILL, NC 27516-3997

AWARD AMOUNT..... \$125,757

PERFORMING ORGANIZATION: UNIVERSITY OF NORTH CAROLINA CHAPEL HILL

TITLE: HEALTH INSURANCE, HEALTH, AND RETIREMENT DYNAMICS

ABSTRACT:

DESCRIPTION: This project will use data from the first three waves of the Health and Retirement Survey (HRS) to estimate a dynamic, structural model of the employment and health care demand decisions of older individuals and couples. The main purpose of the study is to analyze the impact of health insurance on the timing of retirement from the career job. This will be the first study of the effect of health insurance on retirement to use data that contain detailed characteristics of the health insurance coverage available to a given individual while employed and, for the same individual, after retirement. The employment effects of health insurance reform are of considerable interest because of the possibility that decoupling employment and health insurance could lead to a substantial further increase in the already high rate of labor force exit before age 65. A second goal of the study is to estimate the effect of health on the timing of retirement using a multidimensional measure of health. Most studies of the effect of health on retirement use simple discrete indicators of health such as the presence of a disability that limits an individual's ability to work. The HRS data contain a rich variety of health status measures, including self-assessments of general health status, work-limiting disabilities, measures of the ability to accomplish specific tasks of daily living, and medically diagnosed conditions. This study will combine subjective self-assessments with objective measures of functional status and medical conditions to form a multidimensional measure of health status. This model will provide the first estimates of how specific combinations of subjective and objective health status affect transitions among labor force states such as full-time work, part-time work, and retirement.

PROJECT NUMBER.....1 R03 AG14808-01

INVESTIGATOR NAME/ADDRESS

BLOOM, DAVID E

HARVARD INST/INT'L DEVELM

AWARD AMOUNT..... \$54,007

ONE ELIOT ST

CAMBRIDGE, MA 02138

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: PENSION SYSTEM IN SOUTH AFRICA

ABSTRACT:

This project will collect and analyze new data on South Africa's pension system, in order to measure the effects of the system on family dynamics, labor supply, health, and other aspects of well-being in South African households. By developing and evaluating specialized methods for gathering household data on the receipt of pension benefits and their impacts, the project will also advance researchers ability to study pension systems in general. The project will devise, test, and apply innovative methods for collecting household data relevant to describing and assessing the South African pension system, in a manner appropriate to the social and economic conditions of the country. The project will use these data to study whether the pension system (a) improves health status and overall well-being of the elderly and those who live with them, (b) gives the elderly a stronger voice in household decision making or affects family dynamics in other ways, and (c) serves as a disincentive to work. Interest in the design, establishment, and reform of pension systems has grown considerably over the past decade, prompted by increasing longevity, declining fertility, and concern over the health and economic security of the aged. Empirical research on the social and economic impacts of different pension system designs is much needed, however. South Africa's system, which is universal, non-contributory, and means-tested, and which adds significantly to financial resources of households that include pensioners (especially poor blacks), provides a fertile opportunity for studying the impact of pension systems. The project is designed to overcome some of the obstacles that have hampered previous efforts to understand South Africa's pension system. Standard household surveys include only a superficial treatment of pension receipts and do not permit many central issues to be researched. To address this deficiency, an interdisciplinary team of US and South African researchers will develop a survey instrument focused on the interaction between the pension system and individuals' behavior and well-being. They will test it on a small number of households, refine it, and administer it in a 750-household sample. Preliminary analysis of the survey results is expected to contribute to ongoing pension policy discussions in South Africa, to clarify issues that need to be resolved before a full-scale follow-up survey can be carried out, and to provide useful points of comparison for studies in other countries.

PROJECT NUMBER.....5 R01 AG11047-04

INVESTIGATOR NAME/ADDRESS

BOULT, CHARLES E

UNIVERSITY OF MINNESOTA

825 WASHINGTON AVE SE BOX 25

MINNEAPOLIS, MN 55414-3034

AWARD AMOUNT..... \$262,310

PERFORMING ORGANIZATION: UNIVERSITY OF MINNESOTA TWIN CITIES

TITLE: TRIAL OF OUTPATIENT GERIATRIC EVALUATION AND MANAGEMENT

ABSTRACT:

The goal of this project is to evaluate the cost-effectiveness of providing frail elderly people with outpatient geriatric evaluation and management (GEM). The model of GEM to be tested includes an assessment of the many factors related to an elderly person's health, the provision of intensive interdisciplinary therapy for three months, and then the monitoring of the person's health status for nine months in collaboration with his or her primary physician.

The study's primary hypothesis is that the proportion of frail elders admitted to acute care hospitals can be significantly reduced by outpatient GEM. Secondary hypotheses are that outpatient GEM reduces the cost of health care and improves survival and quality of life for elders who are carefully selected according to their level of frailty. In order to test these hypotheses, a randomized clinical trial (n=600) will then be conducted. A large elderly population of Medicare enrollees will be screened using a short, mailed, self-administered questionnaire that identifies elders who are at high risk for frequent hospital admission in the future. High-risk elders who are likely to benefit from out-patient GEM will be randomly assigned to one of two groups: recipients of outpatient GEM or recipients of usual care. The two groups' use of health services, quality of life, and mortality will be compared during the eighteen months following randomization. The outcomes of the trial will be measured from data obtained from HCFA MADRS files (use of health services), telephone interviews (quality of life), and the Minnesota Department of Health and the National Death Index (survival).

The screening procedure and the experimental GEM program have been pilot-tested during the past eighteen months and are designed to be replicated at other sites in future investigations and clinical applications. The project's leaders, long-standing colleagues at the University of Minnesota, will provide the needed expertise in clinical medicine, epidemiology, health services research, public health and public policy. The National Institute on Aging is requested to provide \$1.8 million in direct costs for the further development and testing of this promising model of outpatient GEM.

PROJECT NUMBER.....1 R13 AG15037-01

INVESTIGATOR NAME/ADDRESS  
BURKHAUSER, RICHARD V  
CENTER FOR POLICY RESEARCH

AWARD AMOUNT..... \$40,000

SYRACUSE, NY 13244-1020

PERFORMING ORGANIZATION: SYRACUSE UNIVERSITY AT SYRACUSE  
TITLE: CROSS-NATIONAL CONFERENCE ON HEALTH AND RETIREMENT DATA

ABSTRACT:

DESCRIPTION (adapted from the application): The project involves organizing a conference of research on retirement issues in aging involving researchers from the United States (U.S.), the Netherlands, Germany, and Great Britain. The best of the papers as determined by a special referee process will be published as a special issue of Labour Economics.

PROJECT NUMBER.....5 R01 AG13037-02

INVESTIGATOR NAME/ADDRESS

COX, DONALD

BOSTON COLLEGE

AWARD AMOUNT..... \$222,928

CHESTNUT HILL, MA 02167

PERFORMING ORGANIZATION: BOSTON COLLEGE

TITLE: THE DEMONSTRATION EFFECT IN INTERGENERATIONAL TRANSFERS

ABSTRACT:

DESCRIPTION: The proposed research models the transfer of care from parents to their parents as a demonstration effect. A child's conduct is conditioned by the parents' example; if parents care for parents and children observe and learn from this behavior, then children are more likely to transfer care to their own parents in the future. The model is well-linked to concepts in behavioral psychology, sociology, and economics and generates new insights and testable hypotheses concerning intergenerational transfers. These hypotheses will be tested using data from the National Survey of Families and Households (NSFH), the Health and Retirement Survey (HRS), the Panel Study of Income Dynamics (PSID), the Survey of Income and Program Participation (SIPP), and the Asset and Health Dynamics (AHEAD) Survey.

PROJECT NUMBER.....1 R03 AG15166-01

INVESTIGATOR NAME/ADDRESS  
CRYSTAL, STEPHEN  
RUTGERS UNIVERSITY INST FOR

HL

AWARD AMOUNT..... \$77,849

30 COLLEGE AVENUE  
NEW BRUNSWICK, NJ 08903

PERFORMING ORGANIZATION: RUTGERS UNIVERSITY

TITLE: OUT OF POCKET HEALTH CARE COST OF THE ELDERLY

ABSTRACT:

Despite the availability of Medicare, out-of-pocket health care costs are substantial for many older person. It is of considerable public policy importance to understand the impact of these costs; yet recent information on the size, composition, distribution, and financial burden of out-of-pocket health care costs of older persons is surprisingly scant, and there are many methodological problems with widely-cited estimates. Using newly available data from the Medicare Current Beneficiary Survey, we aim to provide new insight on the impact of out-of-pocket health care costs on elderly persons. These analyses will identify the characteristics of older people which predict high out-of-pocket costs; provide a better understanding of the role of privately purchased supplemental insurance, employer-provided retiree insurance, Medicaid, and other programs in protecting older people from such costs; characterize recent trends in out-of-pocket costs and the changing roles of pharmaceutical costs, physician costs, insurance premium costs, long-term care costs, and other health care costs in total out-of-pocket expenditures; and identify the prevalence and predictors of out-of-pocket costs which are financially burdensome in relation to income.

Using data from the MCBS Cost and Use public use files for 1992 through 1994, we will prepare initial empirical papers describing the composition and distribution of out-of-pocket costs among the elderly living in the community; relating these costs to individuals' age, health status, level of functional impairment, income, and other individual characteristics; and analyzing the prevalence and predictors of high out-of-pocket costs as defined by several alternative criteria. We will also develop and validate methods and measures needed for a more ambitious research proposal which will use MCBS data to provide an in-depth picture of the extent, distribution, and composition of the elderly's out-of-pocket health care costs, addressing several key methodological problems with the use of MCBS data for this purpose and making recommendations to the survey producers for future improvements to MCBS. The proposed study will provide detailed description of the elderly's out-of-pocket costs; place these costs in the context of elderly individuals' economics, demographic, and health characteristics; and identify the specific predictors of financially burdensome costs, providing information critically needed to inform Medicare, Medicaid, and other health care financing policies.



PROJECT NUMBER.....5 R29 AG11223-03

INVESTIGATOR NAME/ADDRESS

CUTLER, DAVID M

HARVARD UNIV

AWARD AMOUNT..... \$93,774

LITTAUER CTR

CAMBRIDGE, MA 02138

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: PUBLIC POLICY FOR AN AGING SOCIETY

ABSTRACT:

This research examines two public policy issues related to the aging of society: the measurement of well-being among the aged; and the effects of alternative health care reimbursement systems on medical treatments and outcomes. The first project compares and contrasts income based measures of well-being with measures based on consumption and direct access to resources. The project will utilize data on consumption and resource access over the past 30 years, for both the elderly and non-elderly populations. The comparisons over time and across age groups will be used to identify the population in need of government support, and to forecast resource needs as the population ages.

The second project considers the consequences of alternative reimbursement policies for the delivery of medical services. There are three components to this work; the effect of prospective payment on treatments and adverse medical outcomes; the responsiveness of hospital technology acquisition to prospective reimbursement; and the implications of state uncompensated care pools for the provision of care to the uninsured. The project considers whether the supply of hospital care responds to changes in reimbursement systems, and whether these supply responses in turn affect the underlying health of hospital patients. The project uses national and state data on admissions to hospitals, data on the ownership of technology by different types of hospitals, and data on price changes resulting from prospective payment and state uncompensated care pools.

PROJECT NUMBER.....2 R44 AG13731-02

INVESTIGATOR NAME/ADDRESS

CUTLER, NEAL E

NAT. COUNCIL ON THE AGING

409 THIRD STREET

WASHINGTON, DC 20024

AWARD AMOUNT..... \$415,226

PERFORMING ORGANIZATION: NATIONAL COUNCIL ON AGING DEVELOP CORP.

TITLE: DECISION SUPPORT SOFTWARE FOR FINANCING LONG TERM CARE

ABSTRACT:

This research will produce two consumer-oriented software products to assist middle-aged and older adults to identify personal health and financial risks of needing long-term care, long-term care service and finance options, and alternative strategies for financing needed care.

The project will create two information Domains: (1) The Duke University Center for Demographic Studies will use existing health care models and NLTCs longitudinal data to estimate individual-level probabilities of long-term care need; (2) NCOADC will create a comprehensive inventory of LTC service and financing options. Using these Domains, the software will assist the consumer in answering such questions as:

-- if you are given estimates of your probable lifetime need for and costs of LTC, what (different) decisions might you make?

-- How might information about alternatives to nursing homes influence your financial and health care planning?

(1) In partnership with Intuit Corporation, we will develop a long-term care module for Intuit's Quicken Financial Planner, whose primary market is middle-agers doing retirement and financial planning. (2) NCOADC will develop a separate package, Your Long-term Care Counselor Software and Consumer Guide, whose primary market is older people, their families, and professionals involved with more current LTC decisions.

PROPOSED COMMERCIAL APPLICATION: The project will develop two consumer- oriented software products for planning the financial aspects of long-term care; (1) a module for the best-selling Quicken Financial Planner, targeted to middle-agers doing general retirement planning; (2) our own product, Your Long-term Care Counselor and its Consumer Guide, targeted to older persons and their families, and to financial planners, insurance agencies, employee assistance programs, and geriatric care managers involved in more current long-term care decisions.

PROJECT NUMBER.....5 R01 AG11957-04

INVESTIGATOR NAME/ADDRESS

DEATON, ANGUS S

PRINCETON UNIVERSITY

221 BENDHEIM HALL

PRINCETON, NJ 08455-1022

AWARD AMOUNT..... \$27,810

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: AGING AND SAVING IN DEVELOPED AND DEVELOPING COUNTRIES

ABSTRACT:

The goal of the research is to study the effects of demographic change, particularly of population aging, on patterns of saving and inequality using data from East Asia, the United States and Great Britain. The use of data from both developing and developed Countries allows an explicitly Comparative approach, which will be pursued, not at the level of national aggregates, but by comparing the internal structure of the economies using microeconomic data on household behavior. Time-series of household surveys for each country will be used to decompose earnings, incomes, savings rates, and inequality in income and consumption into components attributable to age and cohort effects. Isolation of age effects will allow an assessment of the contribution of demographic structure to differences in national levels of saving and inequality, both over time within countries and across countries. The proposed research has several specific aims: (1) To assess likely future changes in saving, inequality and poverty as populations age. (2) To examine the implication of standard life-cycle theories of saving for inequality in income and consumption. (3) To understand better the relationship between inequality and economic development (the Kuznets curve), with particular emphasis on the relationship between economic growth, population aging through the demographic transition, and widening inequality. (5) To consider the effects of social security systems in developing countries, and the extent to which the introduction of such systems is likely to affect saving, inequality, and poverty. (6) To contribute more generally to our understanding of saving, to try to draw lessons from the high saving, high growth countries of East Asia for low growth, low saving countries like the US and the UK, and to draw lessons about aging and social security systems from the experience of the US and the UK to help guide policy in developing countries.

PROJECT NUMBER.....1 R55 AG14800-01

INVESTIGATOR NAME/ADDRESS

FRIEDBERG, LEORA

UNIV OF CALIF SAN DIEGO

9500 GILMAN DR DEPT 0508

LAJOLLA, CA 92093-0508

AWARD AMOUNT..... \$50,000

PERFORMING ORGANIZATION: UNIVERSITY OF CALIFORNIA SAN DIEGO

TITLE: PARTIAL RETIREMENT AND PART TIME WORK AMONG THE ELDERLY

ABSTRACT:

A great deal of research has been devoted to explaining increasingly early retirement rates, but much less attention has been paid to the factors affecting those who continue to hold jobs into their relative old age. Yet, the success of policy efforts to encourage later retirement will depend on the conditions under which continued employment for older individuals is available. This project will examine several aspects of work - as opposed to retirement - among the older population. The potential for workers to stay longer in their career jobs appears to be limited, so continued work is likely to take the form of "bridge employment", which may well be part-time. However, research on younger workers indicates that various constraints act to limit the extent of part-time work. Such constraints also interact with policy provisions related to Social Security and health insurance to govern the conditions of part-time work for older workers. Increases in the prevalence of part-time work among older workers in recent years can illuminate the nature of various constraints on part-time work. Analyzing the response to changes in policy provisions that interact with those conditions is the key to this approach. This project will focus on changes in the Social Security earnings test for 62-69 year olds, and changes in continuation health insurance coverage for those under the age of 65, in order to isolate some of the underlying factors that govern the recent evolution of part-time work and partial retirement.

PROJECT NUMBER.....2 R01 AG11836-04

INVESTIGATOR NAME/ADDRESS

GALE, WILLIAM G

BROOKINGS INSTITUTION

AWARD AMOUNT..... \$121,459

1775 MASSACHUSETTS AVE NW

WASHINGTON, DC 20036-2188

PERFORMING ORGANIZATION: BROOKINGS INSTITUTION

TITLE: PUBLIC POLICIES EFFECTS ON SAVING FOR RETIREMENT

ABSTRACT:

DESCRIPTION: The central goal of this research is to analyze how public policies affect saving behavior and the financial status of the elderly. A particular goal is to assess the effects of government tax and spending policies within a well-specified simulation model of household saving. A related goal is to examine the impact of pensions on household wealth accumulation. Another related goal is to examine the adequacy of households' preparations for retirement, and the factors that cause households to save inadequately. To achieve these long-term objectives, the research has several specific aims: (1) To examine the effects of pensions on household wealth accumulation. Prior research contains a series of econometric problems, each of which biases the results toward showing that the estimated effect of pensions on other wealth is more positive than the true effect. Many of the biases can be corrected and doing so can materially affect the results. The research would extend the theoretical analysis and, using improved data, apply the empirical work to different population groups. (2) To extend earlier work modeling government policies using a life-cycle simulation model, where households save for retirement and as a precaution against uncertain income and mortality risk. New research would expand the model to include endogenous retirement choices, uncertain asset returns, and other features. (3) To use the simulation model to examine the long-term and transitional effects of a variety of social security reforms. (4) To model how much households should be saving during their working years to preserve their pre-retirement living standards in retirement. In contrast to most "financial planning" frameworks, the investigators incorporate uncertainty about wages, lifespan, and rates of return. In conjunction with empirical work, the results will help show which groups are at risk, to what extent, why, and what policies could help. (5) To use the simulation model to develop new tests of the impact of saving incentives on saving by comparing the empirical patterns in the simulation model, where saving incentives provide virtually no net new saving during the first 15 years, to observed saving patterns of households with and without saving incentives in various data sets.

PROJECT NUMBER.....2 R44 AG14015-02

INVESTIGATOR NAME/ADDRESS

GRITZ, ROBERT M

UNICON RESEARCH CORP.

1640 FIFTH STREET

SANTA MONICA, CA 90401

AWARD AMOUNT..... \$428,631

PERFORMING ORGANIZATION: UNICON RESEARCH CORPORATION

TITLE: DEVELOPING PUBLIC USE MEDICARE CLAIMS DATA FOR AHEAD

ABSTRACT:

Longitudinal Medicare claims files contain information on the majority of particular acute-care medical services used by the elderly, and thus represent a valuable supplement to longitudinal surveys. Because of the complexities of the Medicare files and confidentiality issues, however, Medicare claims data have not been widely used by researchers. This project proposes to produce a CD-ROM containing a public-use version of all Medicare claims information for the AHEAD. The CD-ROM will include "summary" data for use by researchers whose primary interests are not health or utilization of medical care, and "detailed" data suitable for use by investigators with extensive interests in health and medical care. Based on methods developed by project consultants and consultations with AHEAD staff and users, these variables will maximize detail while preserving confidentiality. The CD-ROM will include software for accessing combinations of variables, a textual description of the variables, and information on their construction. Phase I will finalize the "detailed" and "summary" data elements from the Medicare files, test data element creation on at least a portion of the Medicare data for AHEAD respondents, develop draft documentation for the datasets, and determine the structure of the data product.

PROPOSED COMMERCIAL APPLICATION: Targeted to researchers in both the academic and nonacademic communities, this project will create "detailed" and "summary" versions of public-use data incorporating all Medicare claims information for linkage to surveys of the elderly. The principal product will be a user-friendly CD-ROM for use with the Survey of Asset and Health Dynamics of the Oldest Old (AHEAD); analogous products could be developed for other longitudinal surveys.

PROJECT NUMBER.....5 R29 AG11895-03

INVESTIGATOR NAME/ADDRESS

GRUBER, JONATHAN H

MIT

E52-274C

CAMBRIDGE, MA 02139

AWARD AMOUNT..... \$107,635

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: HEALTH INSURANCE REFORM, OLDER WORKERS, AND RETIREMENT

ABSTRACT:

The goal of the proposed research is to model the effect of alternative health insurance reforms on older workers and retirees before they become eligible for Medicare. I plan to estimate how different reforms will affect the retirement decisions of workers, the employment and compensation decisions of firms, and the extent of health insurance coverage among the pre-Medicare population. More specifically, the project has four aims:

1. To determine how employer provision of health insurance to retirees affects retirement decisions, to compare this effect to those of social security and firm pension plans, and to assess the interaction of insurance coverage with individual health status in determining retirement.
2. To estimate the effect of policies which subsidize the price of health insurance on the extent of coverage of older workers and early retirees.
3. To determine the effects of mandated employer provision of health insurance on the employment and compensation of older workers, who cost more than their younger counterparts to insure.
4. To use these findings to model the effect of different insurance reforms on retirement decisions and the well being of older workers and early retirees.

Although the analysis described below will focus on a limited number of reform proposals, the framework which I establish will be general enough to encompass analysis of the effects of most future reforms. I will use a variety of data sources, including the most comprehensive data set ever collected for older workers and early retirees. A key feature of my analysis will be the use of "natural experiment" identification strategies, which exploit the variation from existing policy differences to analyze future policy changes, allowing me to circumvent the problems of past researchers in isolating the causal effects of the economic variables of interest.

PROJECT NUMBER.....1 R01 AG13913-01A1

INVESTIGATOR NAME/ADDRESS  
GUSTMAN, ALAN L  
DARTMOUTH COLLEGE

AWARD AMOUNT..... \$81,853

HANOVER, NH 03755-3514

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: RETIREMENT BEHAVIOR IN THE HEALTH AND RETIREMENT SURVEY

ABSTRACT:

DESCRIPTION: The proposed project will use longitudinal data from the Health and Retirement Survey (HRS) to examine the determinants of retirement behavior of survey participants. A structural, dynamic model of retirement that takes into account the effects of stochastic events on the need to reoptimize behavior will be estimated. The opportunity set will reflect earnings opportunities as well as the effects of work. Earnings opportunities will be estimated from self-reported data and from earnings records obtained from the Social Security Administration. Incentives from pension plans affecting retirement will be estimated using employer provided pension plan descriptions. Retirement incentives from social security are based on the benefit formula. Health status will be estimated from indices reported in detail in the survey.

Indices of working conditions and pressures to retire as well as measures of time preference and risk aversion will be included as determinants of the value of leisure time. Each model will allow for heterogeneity in preferences. The empirical results will be used to examine a number of issues that have been of concern to retirement researchers, including the inability of some previous models to explain the peak in the retirement hazard at age 65. The investigators will also compare results using the HRS with those from the Survey of Consumer Finances and the National Longitudinal Survey of Mature Women.



PROJECT NUMBER.....1 R03 AG15224-01

INVESTIGATOR NAME/ADDRESS  
GUSTMAN, ALAN L  
DARTMOUTH COLLEGE

AWARD AMOUNT..... \$81,542

HANOVER, NH 03755

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: MISSING DATA/QUALITY IN HRS PENSION/SOCIAL SECURITY DATA

ABSTRACT:

The purpose of this project is to analyze data problems in the pension and social security data reported by the Health and Retirement Study. Records or data may be missing. When pensions are fully reported by respondents, the respondent reports may be inconsistent with plan descriptions obtained from firms. Differences may also arise in work history data obtained from respondents and from the Social Security Administration. Problems with the data fall under four broad headings. Failure to Match: First, there is failure to obtain a pension plan description from the respondent's employer or to obtain the social security earnings record. Missing Data: Second, missing data may arise in the respondent report on the pension when the respondent refuses to answer or does not know the answer to a question about a pension or social security. Reporting error: Third is reporting error in the respondent's description of the pension or earnings history. Questions about the Methodology for Projecting Pensions and Social Security: fourth, problems arise when respondents project pension and social security values based on some ---- but differing assumptions. This creates discrepancies among residents in reported pension values and social security.

The proposed analysis will be of interest to researchers who use the HRS data to study income and wealth distributions and their determination, savings behavior, retirement, or who study related behavioral issues, such as the relation of wealth and labor market activity to health related expenditures and health realizations. The study will inform researchers as to potential biases in their estimates of empirical relations. In the process it will also consider whether changes should be made in future surveys, or supplementary data collected. The study also will set the state for a more ambitious project that would provide corrected estimates of pension values, pension incentives, and complete covered work histories. The subsequent R01 project would combine the information in the self reported and firm reported data on pensions, and self reported social security and administrative records collected from the Social Security Administration by the HRS, using the full set of information to correct errors and bias in each source of data.

PROJECT NUMBER.....5 K01 AG00593-04

INVESTIGATOR NAME/ADDRESS  
HEADEN, ALVIN E JR  
NORTH CAROLINA STATE

UNIVERSIT

AWARD AMOUNT..... \$88,896

BOX 7506  
RALEIGH, NC 27695-7506

PERFORMING ORGANIZATION: NORTH CAROLINA STATE UNIVERSITY RALEIGH  
TITLE: RACE, LTC SERVICE MIX, AND CAREGIVER TIME COST

ABSTRACT:

The research objectives are to estimate the impacts of the out-of-pocket prices of informal caregivers time, nursing home service, and formal community-based services on choices of service used to produce long-term care; and to determine the extent of which differences in these out-of-pocket prices faced by black and white families explain observed racial differences in the mix of services used. Priced differences are posited to result from differences in potential wage rates of informal caregivers, and spend-down rates given asset ownership and Medicaid eligibility rules. Data are from the 1982-1993 National Long Term Care Surveys, Current Population Surveys, and the 1985 National Nursing Home Survey. The analysis builds on my work and will be conducted at NCSU under the sponsorship of Robert L. Clark, Ph.D.. Consultation on using CPS data to estimate wage equations will be provided by Dr. Steven G. Allen who collaborates with Dr. Clark. Guidance from Dr. Kenneth G. Manton and Dr. Max A. Woodbury of Duke University Center for Demographic Studies will be provided in preparing NLTCs longitudinal files linked to Medicare Part A and B files, construction multidimensional indices of health and functioning, nonlinear statistical estimation, and incorporating the 500 additional blacks who will supplement the 1993 NLTCs.

PROJECT NUMBER.....1 R03 AG15156-01

INVESTIGATOR NAME/ADDRESS

HU, WEI-YIN

UCLA

AWARD AMOUNT..... \$49,777

BOX 951477

LOS ANGELES, CA 90095-1477

PERFORMING ORGANIZATION: UCLA

TITLE: IMMIGRANT ASSIMILATION AND ECONOMIC STATUS

ABSTRACT:

This research will analyze the role of economic assimilation in determining older immigrants' economic status in the United States. The outcomes of major interest are income and wealth. The analysis will rely on longitudinal earnings histories for a random sample of older immigrants and native-born Americans. Who have completed most of their working lives. I will use a rich source of survey data on individuals: the Health and retirement Study (HRS), with merged social security earnings histories. These data will provide information on over 7,600 households with earnings information over a forty-year span. Comparisons of wealth between natives and immigrants will incorporate differences in expected Social Security benefits and pension benefits—two forms of wealth not measured in other studies of immigrants. This study will provide new insight into the assimilation process in two major ways. First, in contrast to analyses based on repeated cross-sections of the Census, my results will not be affected by nonrandom outmigration or differing population coverage across Census samples. Second, I will be able to follow individuals' progress over a very long time span—as much as 40 years—and thus obtain a rich characterization of the life-cycle path of assimilation. Comparisons of the HRS sample with earlier Census samples will allow a description of the characteristics most associated with outmigration and provide insight into the selectivity of immigrants.

PROJECT NUMBER.....5 R01 AG12921-02

INVESTIGATOR NAME/ADDRESS  
HURD, MICHAEL D  
STATE UNIV OF NEW YORK

AWARD AMOUNT..... \$44,513

STONY BROOK, NY 11794

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: USING SUBJECTIVE INFORMATION TO EXPLAIN SAVING DECISIONS

ABSTRACT:

DESCRIPTION: Individuals have different beliefs about how long they will live, how healthy they will be in old age, when they will retire, and other aspects of the future. The underlying goal of this project is to explore how these subjective beliefs influence saving decisions. The project uses two new panel data sets, the Health and Retirement Survey (HRS) and the Survey of Asset and Health Dynamics Among the Oldest Old (AHEAD), each of which measures subjective probabilities about mortality and other future events.

Because there is virtually no past research using subjective probability measures to explain saving decisions, the project includes a number of exploratory components about the subjective data. One component is to evaluate whether people's subjective expectations are realistic. For example, as future waves of the surveys become available, the project will determine whether differences in subjective expectations across individuals are realized. Specifically, how accurately do people assess differences in their mortality and other future events? Another component of the project investigates the determinants of the subjective probability distributions, and estimates specific models of the formation and evolution of subjective beliefs.

The project considers several aspects of how subjective expectations influence saving decisions. First, the subjective probability distributions will be used to estimate models of saving behavior by the elderly. In particular, subjective information about mortality risk and the risk of medical expenditures will be used to estimate the role of expectations in influencing saving decisions; the importance of risk aversion; and the extent to which saving results from differences in expectations, as compared with differences in tastes. Second, the project will assess whether saving decisions are "rational," given particular expectations about the future. Third, the project will identify groups with economic hardship, and assess the extent to which their economic hardship results from poor planning, unrealistic beliefs, or bad luck. And fourth, the estimates of saving behavior will be used to forecast saving and wealth of the elderly.

PROJECT NUMBER.....1 R03 AG14903-01

INVESTIGATOR NAME/ADDRESS

HURD, MICHAEL D

RAND

AWARD AMOUNT..... \$85,166

1700 MAIN ST, PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: THE VALUE OF MEDICARE

ABSTRACT:

The proposed research will analyze the value of the Medicare health insurance program from the perspective of individual beneficiaries. The high per beneficiary cost of the Medicare program implies that the government has effectively mandated that a large fraction of the elderly's expenditures are allocated to purchasing Medicare health insurance. However, because of the lack of exogenous variation in Medicare, there has been little research on individual's willingness to pay for this insurance. We propose to circumvent this difficulty using experimental data specially designed to elicit demand choices in response to hypothetical variation in Medicare coverage. The data are being collected in an Experiment Module 9f wave III of the Health and Retirement Survey. The project will validate these data by exploring both internal consistency and conformity with economic theory, and then model and estimate individuals' willingness-to-pay for Medicare insurance. Based on this work, we will then develop new survey questions which we will propose for inclusion in upcoming waves of the HRS as well as the survey of Asset and Health Dynamics among the Oldest-Old (AHEAD), for future analysis as part of a longer-term research agenda of which the research in this proposal is the first stage.

PROJECT NUMBER.....1 R01 AG12751-01

INVESTIGATOR NAME/ADDRESS

JUSTER, F T

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$155,210

PO BOX 1248

ANN ARBOR, MI 48106-1248

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: A STUDY OF PENSION AND SOCIAL SECURITY WEALTH IN THE HRS

ABSTRACT:

The health and welfare of those who have retired are strongly influenced by their economic circumstances. Incomes in retirement are readily determined for those who have already retired, but information has been relatively poor for projecting major components of retirement income and wealth, social security and pensions, for those who have not yet reached retirement age. The proposed project will provide new information on these two major sources of wealth and income in retirement, pension and social security savings and wealth, and will analyze their expected values for those approaching retirement age. Moreover, using the Health and Retirement Survey (HRS), actual pensions and social security benefits can be computed for the currently employed and compared with peoples' expectations of these benefits, for a representative older population and drawing on administrative and employer-supplied records.

This project has six specific aims: 1. To calculate pension and social security wealth using employer-provided pension descriptions for HRS respondents; 2. To fully describe the distribution of these pension and social security outcomes across major groups in the population; 3. To discuss the incentives that the pension and social security benefit structures create for various dimensions of work, retirement and savings; 4. To analyze the determinants of these outcomes, and in particular their relation to the objectives of workers and firms who have adopted and shaped their pensions; 5. To derive implications from the analysis of pension and social security benefits for the design of software used to calculate pension and social security wealth and savings for the HRS. 6. To make recommendations to the research community, including the HRS Steering Committee and the Data Monitoring Committee regarding: the specification of summary pension and social security wealth measures supplied to users of the HRS; the design of pension and social security questions to be included on future waves of the HRS; and the strategy to use for future collection of employer provided and administrative data.

PROJECT NUMBER.....1 R03 AG14898-01

INVESTIGATOR NAME/ADDRESS

JUSTER, F THOMAS

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$75,573

3240 INST FOR SOCIAL RESEARCH

ANN ARBOR, MI 48106-1248

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: NET WORTH AT RETIREMENT AND THE BEHAVIOR OF THE ELDERLY

ABSTRACT:

To study the motives of savings and retirement behavior among the elderly, this project proposes to use the Health and retirement Study's (HRS) comprehensive new data to study the retirement-age group, along with data from the Survey of Asset and Health Dynamics Among the Oldest Old (AHEAD) to study the 70 plus age range and data from the highly specialized TIAA-CREF survey of participants. Our specific aim is to study the motives of HRS respondents. We are interested in whether older households think of themselves as isolated units or as parts of webs of family-line connections - in other words, whether HRS households have accumulated pension rights and other assets to finance their own retirement and to create estates for their children and grandchildren as well, whether only the former matters to them, or, indeed, whether they expect to receive transfer from their children. The frequency and depth of intergenerational connections have implications for public policy, for the way the overall economy functions (including the degree of inequality generated), and for the behavior of individual households - a household's goals and perceptions with regard to family-line linkages theoretically will affect the amount of net worth it accumulates and holds, the manner in which it arranges its portfolio, its age of retirements, how well-off it feels regardless of its private resources, and the ways it will react if public policies change.

PROJECT NUMBER.....1 R03 AG14833-01

INVESTIGATOR NAME/ADDRESS  
KESSLER, DANIEL P  
STANFORD UNIVERSITY

AWARD AMOUNT..... \$74,804

STANFORD, CA 94305-5015

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: PUBLIC POLICY TOWARD LIVING WILLS

ABSTRACT:

As part of a long-term research effort investigating the impact of laws and public policies on health care for the elderly, this project will estimate the effects of laws governing living wills on medical treatment decisions, health care costs, and health care outcomes in the elderly. The project has four main objectives. The first is to compile and integrate comprehensive national data on changes to living wills and other laws from 1984-1995 with longitudinal hospital-level data and longitudinal individual-level data on medical treatment decisions, health care costs, and health care outcomes in the elderly for a range of medical conditions. The second goal is to identify subpopulations of elderly patients for whom living wills have the greatest impact, including those with major illness and those near the end-of-life. The third goal is to identify the determinants of living will law changes and other state legal reforms.

The fourth goal is to assess the effect of different dimensions of living will laws and changes in these laws on medical treatment patterns, health care costs, and health outcomes, focusing on subpopulations of elderly individuals most affected by public policy toward living wills. Since living will laws frequently contain multiple provisions with potentially opposing impacts, the project will identify separately the influence of different dimensions of law changes on patient and physician decision-making and health outcomes. In addition, the project will investigate whether living will laws interact with hospital characteristics, area characteristics, and other laws influencing medical treatment patterns. Our methods identify the effect of public policies toward living wills by comparing trends over time in intensity and outcomes for patients from states that changed their laws to patients from states that did not. Because the role of a living will is completely specified by state law, these methods will directly address the crucial public question of interest: how do different types of living will laws, that grant patients different rights, affect treatment decisions, health care costs, and health outcomes?



PROJECT NUMBER.....5 R01 AG13159-02

INVESTIGATOR NAME/ADDRESS

KOTLIKOFF, LAURENCE J

BOSTON UNIVERSITY

AWARD AMOUNT..... \$172,508

270 BAY STATE RD

BOSTON, MA 02215

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: ADEQUACY OF SAVING AND INSURANCE OF AMERICANS APPROACH

ABSTRACT:

DESCRIPTION: This revised proposal seeks funding to use the Health and Retirement Survey (HRS) as well as the 1989 Survey of Consumer Finances (SCF) to study Americans' saving and life insurance behavior. Key questions addressed are a) Do American households save and purchase life insurance in accordance with the rational dictates of economic theory? and b) Are American households saving enough and purchasing enough life insurance to maintain their living standards in retirement and in the event of the death of a principal earner? This study will also identify the types of households that undersave and underinsure and attempt to explain the reasons for this behavior. The main objections to the previous proposal were 1) lack of a theoretical model, 2) lack of specificity with respect to models to be estimated and the hypotheses to be tested, 3) failure to explain the algorithm behind ESPlanner, 4) lack of specificity with respect to source of inputs to ESPlanner, 5) questionable relevance of the HRS population's behavior to baby boomers, 6) data measurement errors, and 7) size of the budget. This application 1) presents a theoretical framework for the proposed research, 2) specifies more precisely the models to be estimated and the hypotheses to be tested, 3) proposes formal tests of rational life insurance and saving behavior, 4) presents ESPlanner's algorithm, 5) clarifies source of ESPlanner inputs, 6) adds the use of SCF data to study the behavior of the baby boom as well as other generations and make cross-generation comparisons, 7) allows for random measurement error in the data by using median regressions to form more robust estimates of saving and insurance inadequacies, 8) significantly reduces the size of the effective budget by proposing tests of rational life insurance and saving behavior as well as the analysis of the SCF data, and 9) points out that the budget requests only 25 percent time for each researcher, not the 50 percent figure stated in the critique.

PROJECT NUMBER.....5 R37 AG08346-07

INVESTIGATOR NAME/ADDRESS

LILLARD, LEE A

RAND

AWARD AMOUNT..... \$139,130

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: INTERGENERATIONAL TRANSFERS

ABSTRACT:

This study will lead to a better understanding of the role of the family in providing support for elderly parents by providing an analysis of the relative importance of various motives for transfers, in both directions, between parents and their children over the life cycle. The theoretical framework used in this project emphasizes the interplay between the roles of the family in determining its fertility, its investment in the human capital of its children, its use of intrafamily transfers to smooth consumption over the life cycles of its members and across uncertain states of world, and the roles of transfers in determining the distribution of welfare among different generations within the family, particularly the children's provision of monetary and non-monetary support to their parents in old age and ill health. The study will test hypotheses derived from the economic theory of the family concerning the determinants and consequences of intergenerational transfers within the family. The study's empirical work will consider both monetary and non-monetary (e.g., time and in-kind) forms. The empirical models will be formulated to incorporate a number of hypotheses from the theory including: (a) The "parental hypothesis" which suggests that parents make implicit loans to finance the education of their children and children repay these loans by supporting their parents in old age, (b) the "Greenhalgh hypothesis" that the earnings of girls are used by parents to finance the education of their brothers who, in turn, are primarily responsible for the old age support of their parents, (c) the "Cox hypothesis" that care by children for their infirm elderly parents generates transfers characterized by a quid pro quo exchange motive rather than by altruistic motivations.

PROJECT NUMBER.....5 R01 AG11994-03

INVESTIGATOR NAME/ADDRESS

LILLARD, LEE A

RAND

AWARD AMOUNT..... \$130,446

1700 MAIN ST, PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: HEALTH, MORTALITY, SOCIAL INSURANCE, AND SAVING

ABSTRACT:

One of the triumphs of the twentieth century has been the extension of life. Paradoxically, living too long is one of the major concerns of the elderly. What does it mean to "live too long"? For the elderly, two critical concerns are health and the adequacy of financial assets. Although average life expectancy has increased dramatically, for any particular person the future remains uncertain -- both in terms of health and of the length of life itself. From this perspective, living too long means living in poor health and/or with inadequate resources to sustain prior consumption levels, the worst case being a long life of ill health and poverty. Health issues have been largely ignored in the literature on asset management and uncertain life. However, health is critical to saving and consumption decisions in several ways. First, it affects the capacity to work and earn income. Second, it affects the quality of life and the value of purchased goods. Third, although Medicare covers large portions of medical costs for the elderly, illness can still entail substantial out-of-pocket expenditures, especially for long term care at older ages. Finally, a change in current health status is a signal which carries information about future health and mortality.

The main issues which concern us are: 1. Under the existing Social Security and Medicare systems, how severe are the consequences of falling into poor health or losing a spouse? 2. How well prepared are the elderly for their retirement years in terms of accumulated wealth and private and social insurance instruments? 3. What is the trade-off between private and public insurance? Has the recent decline in private pensions been compensated, in welfare terms, by changes in social security? 4. Is social insurance provided efficiently, or is it possible to increase the welfare of the elderly by changing the mix of annuities and medical coverage within a given government budget?

The proposed research focuses on the impact of health on the saving and consumption decisions of retirees. The decision unit which we investigates a husband-wife household which pools the resources of its surviving members. We use a dynamic programming approach to model the household's planning problem. The main components of the optimization model are: 1) A probability transition matrix for different health survival states of the spouses; 2) A payments matrix which describes the monetary costs and gains which are associated with each transition; 3) A state dependent utility function for each living partner where the marginal utility from consumption varies with health; 4) A utility function defined over assets which are left as bequests when the last survivor dies. Given information on these components it is possible to calculate the optimal consumption saving strategy. However, some components, such as the utility parameters are not directly observable. We estimate these parameters by confronting the optimal plan with observed asset accumulation, recognizing that wealth is measured with error. For this purpose we use three different samples -- the Retirement History Survey, the Health and Retirement Survey, and the Panel Study of Income Dynamics. Having recovered the preference parameters of households, we can examine for each household the implied path of asset decumulation in the post retirement years. We can then infer the expected utility (welfare) of each household conditioned on publicly provided social security and medical insurance and privately held instruments such as pensions and life insurance and thus determine the public/private tradeoff.

PROJECT NUMBER.....5 R01 AG12420-03

INVESTIGATOR NAME/ADDRESS

LILLARD, LEE A

RAND

AWARD AMOUNT..... \$239,229

1700 MAIN ST PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: ELDERLY HEALTH AND HEALTH CARE UTILIZATION

ABSTRACT:

As the debate concerning health care reform has intensified, attention has focused on the costs of illness, particularly in the elderly. The elderly are the fastest growing segment of the population in our country and consume a large share of health care resources. This study will examine long-term factors that affect health status and the use of medical care associated with poor health and disease in the elderly. The elderly bring with them a lifetime of socioeconomic history which may be important in determining health status and the use of medical services. We study the effect of long-term factors such as family background, lifetime poverty and health insurance and occupational histories on the life cycle pattern of health status. To analyze medical care use, the proposed research considers both the direct effects of long term factors, as well as the indirect effects through their determination of current private insurance coverage, their effects on current health, and finally their effect on survival to the age at which they participated in the survey to report medical expenditures. The effects of endogenous health status on the utilization of medical services is identified by prior health habits and historical exposure to occupational health risks. The effects of current coverage by private insurance are identified by job tenure, permanent wage rate, occupation, industry and union membership in the last/longest career job from detailed work histories, and measures of these variables from the spouse's work history for married women and widows. The effects of selective survival (or selective mortality) are identified by detailed timing of events in the history of marriage and living arrangements available for individuals in the PSID and by use of national vital statistics on mortality by gender, race, age and year. The proposed study uses data obtained as part of a special health supplement to the PSID in 1990 assigned by the research team as part of the original program project data acquisition core and made available as part of the PSID public use files. The project will also use the AHEAD data from the Health and Retirement Survey.

PROJECT NUMBER.....1 R03 AG14173-01

INVESTIGATOR NAME/ADDRESS  
LUMSDAINE, ROBIN L  
PRINCETON UNIVERSITY

AWARD AMOUNT..... \$77,874

PRINCETON, NJ 08544

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: CAREGIVING RESPONSIBILITIES AND THE RETIREMENT DECISION

ABSTRACT:

The proposed research will investigate the relationship between caregiving responsibilities and the retirement decision. The focus will be on three types of caregiving responsibilities facing individuals nearing retirement age: elderly parents, infirmed spouses, and grandchildren. Existing literature documents the financial incentives affecting the retirement decision (e.g., pensions, Social Security); one goal of the proposed research is to consider non-pecuniary incentives and their effect on behaviors. While existing caregiving literature has documented the effects of caregiving on labor force participation decisions, the focus of this literature has been on working mothers of all ages with preschool age children and on spousal caregiving, with little specific attention to retirement age individuals. Thus another goal of the proposed research is to focus specifically on individuals who are potentially facing a joint behavioral decision of caregiving and retirement. The interrelation of these decisions will require a model of endogenous decisionmaking. The research will proceed as follows: 1) examine the links between the caregiving and retirement decisions and investigate the endogeneity between the two decisions, 2) modify a dynamic "base case" behavioral model of retirement to incorporate the caregiving decision, 3) simulate the effects on labor force participation of changes in public and corporate policy related to caregiving. The principal datasets to be used in the analysis are the HRS and AHEAD surveys. The HRS is a natural choice for the analysis because of its large sample of individuals in the age range of interest (likely to be facing caregiving and retirement decisions). It also contains a rich collection of financial information at the individual level, so that the model will focus on the effects of non-pecuniary incentives while still controlling for the financial effects which have been shown in previous studies to be quite important.

PROJECT NUMBER.....1 R01 AG13893-01A1

INVESTIGATOR NAME/ADDRESS

LUSARDI, ANNAMARIA

DARTMOUTH COLLEGE

318 ROCKEFELLER HALL

HANOVER, NH 03755

AWARD AMOUNT..... \$15,000

PERFORMING ORGANIZATION: DARTMOUTH COLLEGE

TITLE: SAVING AND WEALTH NEAR RETIREMENT

ABSTRACT:

DESCRIPTION: This project will examine the economic status of households close to retirement. Data on wealth and saving will be analyzed using the Health and Retirement Survey (HRS). The first part of the project documents the major facts in the data, in particular the heterogeneity of wealth holdings among similar age or demographic groups, and the extremely low accumulation of some households. Using the panel aspect of the HRS, saving is derived from first-differencing wealth. The distribution and the properties of the saving data are analyzed together with an examination of the stability of wealth over time. Results are compared with two other data sets, the Survey of Consumer Finances and the Panel Study of Income Dynamics, and with the results of other studies. The second part investigates the predictions of a precautionary saving model and examines whether this model is able to explain the empirical facts of the data. Several tests will be implemented to investigate whether households facing high risk save and accumulate more than households facing low risk. The information available in the HRS on three critical variables -- wealth, earnings and health risk, and work history -- makes it possible to perform rigorous tests of the proposition of the theory and allows the research to discriminate among different theories of household behavior.

PROJECT NUMBER.....5 R29 AG13020-02

INVESTIGATOR NAME/ADDRESS

MADRIAN, BRIGITTE C  
UNIVERSITY OF CHICAGO  
1101 EAST 58TH ST  
CHICAGO, IL 60637

AWARD AMOUNT..... \$111,281

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: HEALTH INSURANCE AND THE LABOR MARKET - REVISED

ABSTRACT:

DESCRIPTION: This twice-revised FIRST application aims to provide detailed quantitative evidence on how health insurance affects labor market outcomes. It will assess the impact of health insurance on three different aspects of individual behavior: 1) retirement, 2) job turnover, and 3) unemployment. Data from the HRS and the SIPP will be used to estimate the extent to which the availability of different types of health insurance affects each of these outcomes, and whether these effects vary with factors that reflect how much individuals value health insurance. The application will examine how employer provision of health insurance has affected job characteristics and the structure of employment in the labor market. The application first develops a framework for considering the effect of rising health insurance costs on labor market outcomes. Using individual, industry and firm-level data, it then aims to empirically test the implications that are derived from this framework. These predictions include an increase in the number of hours worked by those with employer-provided health insurance, a decrease in the employment of workers who are provided with employment-based health insurance, and an increase in the employment of workers without employer-provided health insurance, particularly part-time and contingent workers.

PROJECT NUMBER.....5 R29 AG11706-05

INVESTIGATOR NAME/ADDRESS

MC CLELLAN, MARK B

NBER

AWARD AMOUNT..... \$113,956

1050 MASSACHUSETTS AVE

CAMBRIDGE, MA 02138

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: HEALTH TECHNOLOGIES' COSTS AND OUTCOMES IN THE ELDERLY

ABSTRACT:

The goal of the proposed research is to determine how policies that affect geographic access to medical services and provider reimbursement influence treatment patterns, health care expenditures, and health outcomes for the elderly. It focuses on five common medical conditions that account for a substantial portion of mortality, morbidity, and medical expenditures in the elderly; acute myocardial infarction, chronic heart disease, cancer, stroke, and cataracts. The proposed research relies primarily on very large, longitudinal datasets that include information on all medical utilization covered by Medicare. For each clinical condition, the proposed research will:

(1) Identify the effects of three factors unrelated to health status on clinical decision making and health care utilization patterns: patient distance to treatment facilities for the condition; the availability of intensive technologies to providers; and alternative provider payment policies. Methods will examine differences in these effects across sociodemographic groups.

(2) Determine the consequences of variations in treatment patterns induced by these factors for the following patient outcomes: survival time, adverse health events reflected in subsequent utilization patterns, and overall costs of health care. The methods will provide unbiased estimates of the average effects of alternative medical treatments in 'marginal' patients, patients whose treatment is affected by the factors unrelated to health status. The methods, known as instrumental variables in econometrics, have rarely been applied in observational studies in biostatistics and epidemiology but may be widely applicable. Applications will also be explored in the estimation and interpretation of treatment effects over time in clinical trials with compliance or crossover problems. An important component of the proposed research is an analysis of the validity of the methods in large medical claims datasets, using a variety of statistical tests and supplementary datasets with much more clinical detail.



PROJECT NUMBER.....1 R03 AG14809-01

INVESTIGATOR NAME/ADDRESS

MC CLELLAN, MARK B

NBER

AWARD AMOUNT..... \$74,804

204 JUNIPERO SERRA BLVD

STANFORD, CA 94305

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: ECONOMIC CONSEQUENCES OF HEALTH EVENTS

ABSTRACT:

The proposed research will explore the relationship between important new health events and functional, behavioral, and economic outcomes for older Americans using a unique combination of longitudinal databases. The research will employ three waves of the Health and Retirement Study (HRS) survey, two waves of the Asset and Health Dynamics of the Oldest Old (AHEAD) survey, and twelve waves over four years of the Medicare Current Beneficiary Survey (MCBS). Analysis of AHEAD and MCBS will involve linked longitudinal Medicare claims data to assist in validation and characterization of health events. The specific aims include:

1. To construct medically-meaningful variables and groups of variables to summarize health problems and, especially, the occurrence of significant new health events.
2. To validate self-reports of the existence and new occurrence of particular health problems, by using linked longitudinal Medicare claims data.
3. To conduct exploratory studies of the consequences of health events for functional status, economic behavior (particularly labor supply and living arrangements), and financial well-being of individuals and their spouses.

PROJECT NUMBER.....5 K01 AG00589-03

INVESTIGATOR NAME/ADDRESS  
NEUMARK, DAVID  
MICHIGAN STATE UNIVERSITY

AWARD AMOUNT..... \$83,970

EAST LANSING, MI 48824

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: RESEARCH ON THE ECONOMICS OF AGING AND AGE DISCRIMINATION

ABSTRACT:

This proposal seeks support for the completion of numerous research projects on the economics of age discrimination, for training and development in the economics of aging and age discrimination, and for the development of a full-scale, long-term research program in the economics of age discrimination.

The research projects focus on the Age Discrimination in Employment Act (ADEA), which prohibits age discrimination and mandatory retirement. The ADEA has been criticized, on theoretical grounds, for reducing opportunities for long-term incentive contracts between workers and firms. One question the proposed research addresses, then, is whether the ADEA has in fact had this effect. In addition, theoretical assessments of the ADEA hinge on the model underlying the age-earnings profile. Thus, a number of projects testing alternative models of the age-earnings profile are proposed. Finally, there is relatively little existing research documenting evidence of, or even evidence consistent with, discrimination against older workers. Consequently, some of the proposed projects assemble evidence and test hypotheses regarding the existence of age discrimination, the forms it takes, and its effects on older workers.

The goal of the proposed program is not only to complete these research projects, but also to develop a full-scale research agenda in the economics of age discrimination. To facilitate this, formal and informal training is proposed. The formal training consists of course work in employment discrimination law. The informal training consists of involvement of mentors who are experts in the economics of aging, work with the Health and Retirement Survey, and participation in conferences and seminars through the NBER's Aging Program, and the University of Michigan Population Studies Center.

The research, training, and development will be carried out under the auspices of the NBER's Aging Program. The involvement of the NBER in the program will facilitate interaction with other researchers, collaborative research, and dissemination and publication of the results.

PROJECT NUMBER.....1 R03 AG14893-01

INVESTIGATOR NAME/ADDRESS

PEBLEY, ANNE R

RAND

AWARD AMOUNT..... \$84,363

1700 MAIN ST, PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: ADULT MORTALITY RESPONSES TO HEALTH INSURANCE

ABSTRACT:

The proposed research will analyze the effects of adult mortality of a large expansion in public health insurance coverage in Costa Rica in the 1970's. A large body of research suggests that lower health care prices lead to higher health care demand, as well as improvements in child health; however, we know considerably less about effects on adult health outcomes. This investigation will evaluate the potential for exploiting regional variation in the timing of the new public insurance implementation in Costa Rica, paying special attention to controls for heterogeneity such as contemporaneous regional variation in income and employment growth. The specific aims of the project are to: (1) Gather and integrate secondary data from individual death certificates, two censuses, numerous household health and employment surveys, as well as administrative records from various government agencies; (2) Develop and estimate fixed effects models of the insurance effects on overall mortality; and (3) Explore the robustness of estimates to numerous potential sources of measurement error and unobserved heterogeneity. If the methodology is successful, future work will analyze effects on particular socioeconomic groups, and investigate the role of insurance in the epidemiological transition from infectious to chronic disease causes of death.

PROJECT NUMBER.....1 R03 AG14897-01

INVESTIGATOR NAME/ADDRESS

PHILIPSON, TOMAS J

POPULATION RES. CENTER/NOR

1155 EAST 60TH STREET

CHICAGO, IL 60637

AWARD AMOUNT..... \$72,471

PERFORMING ORGANIZATION: NATIONAL OPINION RESEARCH CENTER

TITLE: INFORMATION ON OLD AGE INSURANCE

ABSTRACT:

The project seeks to study several predictions of competitive insurance under asymmetric information. It will allow us to directly assess how the private mortality information of consumers and their experienced mortality, which will be derived from the survey, covaries with their prices and quantities of life-insurance held. First, whether there is any evidence for non-linear pricing other than that predicted by theory: the theory predicts that prices will rise with quantity. Second, we will investigate how private mortality information and actual mortality risks covary with quantity; the theory predicts a positive covariation in that bad risks get more insurance than large risks. Lastly, we will attempt to evaluate what fraction of individuals hold multiple insurance contracts. This is important for the predictions that unit prices rise with quantity because multiple small contracts dominate a large one under such prices. The proposed project will provide an increased understanding of the empirical relevance of commonly argued information barriers to trade in old-age insurance. Many times, these information barriers have provided the primary explanation for the lack of complete old-age insurance, especially among widows.

PROJECT NUMBER.....5 P01 AG05842-12

INVESTIGATOR NAME/ADDRESS  
POTERBA, JAMES  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$130,585

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: ECONOMICS OF AGING  
SUB TITLE: FINANCIAL STATUS--I

ABSTRACT:

The enormous response over the 1980s to the advent of IRAs and 401(k) plans suggests that such programs could have a very substantial effect on the economic status of future elderly Americans. The proposal is to extend our work on the net saving effect of these programs to consider how the changing role of targeted personal retirement saving plans will affect the financial status of future elderly. New data sources permits us to evaluate the relationships among all modes of retirement support, with comprehensive information on all forms of wealth and with detailed data on earning histories and other individual characteristic. And, there is now ten years of experience with personal retirement saving plans and some instances ten years of contributions to these plans. The general goal is to analyze the accumulation of personal financial wealth, housing wealth, pension assets, and Social Security wealth, with particular emphasis on how targeted retirement savings programs such as 401(k) plans affect and are affected by other components of the household balance sheet. We will consider asset accumulation before retirement, financial decisions at retirement-- for example annuitization of pension benefits-- as well as asset decumulation after retirement. Financial decisions in each of these three stages have a direct bearing on the financial status of current and future elderly Americans. There are five specific aims: (1) To document the changing distribution of wealth levels and wealth compositions for older Americans, particularly with respect to the relative importance of personal retirement saving, housing wealth, pensions, and Social Security wealth. (2) To extend our previous analysis of the interaction between saving in 401(k) saving and other elements of household balance sheet, particularly private pension plan asset and Social Security wealth. (3) To document the post-retirement decumulation of personal retirement assets and other bequeathable wealth. (4) To summarize the implications of personal retirement saving by simulating their effect on the financial status of the elderly at and after retirement. (5) To explore the relationship between (i) evidence from household surveys suggesting that 401(k) saving did not displace other asset accumulation, and (ii) evidence from aggregate time series suggesting that the personal saving rate declined during the period when 401(k) contributions rose most rapidly.

PROJECT NUMBER.....5 K01 AG00561-05

INVESTIGATOR NAME/ADDRESS

POWE, NEIL R

JOHNS HOPKINS UNIVERSITY

AWARD AMOUNT..... \$91,506

600 N. WOLFE ST. CARNEGIE 284

BALTIMORE, MD 21287

PERFORMING ORGANIZATION: JOHNS HOPKINS UNIVERSITY

TITLE: ECONOMIC CONSEQUENCES OF ILLNESS IN AN AGING SOCIETY

ABSTRACT:

As the population of the U.S. ages and increases in life expectancy continue, the length of time between onset of disease and death may expand or contract. The economic consequences of such expansion or compression of morbidity could be significant. A research program is proposed which seeks to: 1) measure the health care resource use of older adults; 2) estimate the relationship of health care resource use to morbidity and disability in older adults; 3) model the impact that expansion or compression of morbidity would have on population-based expenditures for health care of older adults; 4) investigate and model the economic impact of interventions designed to prevent disease and disability in older adults.

The candidate for this AWARD has a research background and experience in: 1) health care economics and financing including measurement of the direct costs of illness in prospective observational studies, 2) multi-disciplinary research of health care interventions and 3) recent experience in evaluating the impact of diseases of older adults. The initial focus of this research program will be on cardiovascular disease in older adults, the leading cause of morbidity and mortality in this population. Methods of estimating and modeling health care resource in older adults with cardiovascular disease will subsequently be modified and applied to other significant diseases/conditions in older adults.

PROJECT NUMBER.....7 R01 AG12985-04

INVESTIGATOR NAME/ADDRESS

RUST, JOHN P

YALE UNIVERSITY

AWARD AMOUNT..... \$107,839

P O BOX 208264, 37 HILLHOUSE A

NEW HAVEN, CT 06520-8264

PERFORMING ORGANIZATION: YALE UNIVERSITY

TITLE: ANALYSIS OF DYNAMIC MODELS OF RETIREMENT/SAVINGS USING THE HRS

ABSTRACT:

This proposal describes two separate but closely related research projects using the newly released Health and Retirement Survey Project 1, conducted by the PI John Rust, will use the HRS data to estimate, test, and simulate a detailed dynamic programming (DP) model of retirement behavior that accounts for the sequential nature of the retirement process and individuals' subjective uncertainty about mortality, family status, health status, health expenditures, and income from employment, pensions, and assets. The model treats individuals as rational expected utility maximizers who follow an optimal retirement strategy that accounts for uncertain shocks such as the risk of falling into ill-health or incurring catastrophic uninsured health care expenditures. A previous version of this model has been estimated and tested using the Retirement History Survey (RHS) and is attached in appendix 1. Project 2, PhD dissertation research by the project assistant Maria Perozek, will use the HRS data to determine the impact of uninsured risks on the saving and transfer behavior of the elderly. In particular, this project will focus on the effect of informal family risk sharing arrangements on the saving of the elderly.

Project 1 will make extensive use of the HRS to construct new variables needed to develop an expanded and more realistic version of the DP model. Once the estimated model is fully tested and validated, it will be used to predict the impacts of various policy changes on retirement behavior including the effects of national health care reform on early retirements, the effects of Americans with Disability Act and age discrimination legislation on the work incentives of older and disabled individuals, the 1983 Social Security reforms, and tightening of benefits and eligibility criteria for disability insurance. The specific enhancements to the DP model made possible by the HRS data include construction of more detailed measures of health status, much richer information on job demands and hours of work restrictions, the ability to distinguish between voluntary vs. involuntary job separations, the ability to model individuals' decisions to apply for unemployment insurance and disability benefits, improved data on health insurance coverage, and family transfers. Finally the HRS has detailed data on private pension plan provisions. This will allow us to include a significant fraction of individuals with private pensions who were excluded from the previous DP model due to lack of information on private pension provisions in the RHS.

Project 2 will formulate a dynamic life cycle model which incorporates mortality risk, uncertain medical expenses and the possibility of informal family insurance. This project will exploit the comparative richness of the HRS data on the subjective risk of mortality and nursing home use, the health conditions and general health status of the respondent, intergenerational transfers of money and time, and formal health and life insurance coverage of the elderly. These data will be used to estimate and test the model, and to evaluate the effects of policies aimed at eliminating the uninsured risks facing the elderly population.

PROJECT NUMBER.....1 R03 AG14574-01

INVESTIGATOR NAME/ADDRESS

SAMWICK, ANDREW A

DARTMOUTH COLLEGE

AWARD AMOUNT..... \$77,874

6106 ROCKEFELLER HALL

HANOVER, NH 03755-3574

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: PENSIONS AND SOCIAL SECURITY EFFECT ON RETIREMENT AND SAVING

ABSTRACT:

The objective of this research proposal is to use the Health and Retirement Survey (HRS) and the companion Pension Provider Survey (PPS) to study the evolution of household's economic resources during the immediate pre-retirement period. Previous has shown that pensions are critical to two of the most fundamental decisions households make during this time: when to retire and how much to save support themselves during retirement. Because the government provides insurance for household's well-being in retirement through the Social Security system, a clear understanding of the choices households make to affect their own well-being is critical to making informed policy choices. The combination of the HRS and PPS represents the best dataset that has ever been available to study these topics. This proposal is comprised of four related projects. The first provides documentation and output of the software that has been developed to compute entitlements in the PPS. Special software is required due to the vast differently complexity and structure of pension formulas in the economy. This project will make this unique dataset accessible to a broad range of users with varying computer and research experiences. The second project provides a comprehensive summary of the level and distribution of pension and Social Security entitlements. This project is intended to be a reference for later work. The third project uses the variation in the accrual of pension and Social Security wealth as an individual continues to work to estimate a structural model of the timing of retirement. This model will then be used to simulate the consequences of policy changes on the cost of providing retirement income support. The last project examines the extent to which households with higher pension and Social Security wealth approach retirement with lower levels of other saving. A high rate of offset suggest that government and employer efforts to promote retirement saving are either misguided or ineffective and has implications of understanding saving behavior more generally.



PROJECT NUMBER.....5 K01 AG00670-02

INVESTIGATOR NAME/ADDRESS

SCHOENI, ROBERT F

RAND

AWARD AMOUNT..... \$112,290

1700 MAIN ST /PO BOX 2138

SANTA MONICA, CA 90407-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: HEALTH STATUS AND FAMILY SUPPORT OF THE ELDERLY

ABSTRACT:

The proposed research will examine the provision of care to the elderly by their families. The emphasis will be on the relationship between the health status of the elderly and the assistance they receive. Because a solid foundation on issues of health status measurement and modeling will be required to conduct rigorous analyses of transfers to the elderly, these topics will be the focus of the training component. The training will consist of enrollment in formal courses, completion of directed readings, attendance at special conferences, and collaborative research with experts in the field of health and socioeconomic outcomes. For mentors, I will draw upon four researchers who will provide required and complementary skills. James P. Smith is Chair of Labor Market and Demographic Studies at RAND. He has extensive experience modeling socioeconomic and demographic processes. Robert B. Wallace is Head of the Department of Preventive Medicine and will, therefore, provide a clinical perspective to the research. Moreover, Dr. Wallace was responsible for designing the questions pertaining to health status that were used in one of the two surveys that will be examined in the proposed research. Ron D. Hays is a Senior Social Policy Analyst at RAND and Adjunct Associate Professor at the UCLA School of Medicine. His research emphasis has been on constructing and evaluating measures of health status and health-related behavior. Paul Gertler is a Senior Health Economist at RAND who has extensive experience with behavioral and econometric models of health status.

The research project will examine the relationship between family assistance received by the elderly and their health and changes in their health. Various measures of health status will be examined, including self-reported activities of daily living, instrumental activities of daily living, general health, chronic conditions, cognition, as well as clinical information. Moreover, the research will treat family assistance as multidimensional, taking the form of shared housing, direct financial transfers, and assistance with a variety of activities.

The research project will also determine whether programs such as Social Security and Supplemental Security Income influence the amount of assistance family members provide to the elderly. Although these government assistance programs were established to enhance the well-being of the elderly, they may have the unintended effect of dissuading family members from providing the same level of support that they would in the absence of the programs.

Knowledge of health measurement and modeling will allow me to develop my specific, intermediate-run research agenda on the relationship between health status and family support, as described in the research proposal. Moreover, one of the benefits of my training program is that it will continue to reap dividends throughout my career. Almost all behavioral decisions of the elderly, whether they be the provision of family assistance, labor market participation, must consider health. Therefore, any analysis of aging that I will conduct throughout my career will be enhanced by the skills I develop during this SERCA. The training will take place at RAND, the University of California at Los Angeles, and the University of Southern California. Each of these institutions conducts world-renowned research on health and aging, and I will tap into the unique resources available at each organization.

PROJECT NUMBER.....1 K01 AG00752-01

INVESTIGATOR NAME/ADDRESS

SKINNER, JONATHAN S

DARTMOUTH COLLEGE

7251 STRASENBURGH

HANOVER, NH 03755-3863

AWARD AMOUNT..... \$106,319

PERFORMING ORGANIZATION: DARTMOUTH COLLEGE

TITLE: WHY DO THE RICH LIVE LONGER

ABSTRACT:

At age 65, a person in the 75th income percentile can expect to live about 5 years longer than a person in the 25th percentile, holding factors like education and reported health constant. Why? Some explanations center on income-based differences in access to health care; lower income households may not see a physician until late in the disease process, and when treated are less likely to receive aggressive medical intervention. Others focus on economic factors; stress related to previous employment, lengthy spells of unemployment, or declining living standards at retirement. A third strand suggests that fundamental differences in personality cause some people to experience both low income and poor health; in this view, income is not causal to but simply correlated with early death.

The goal of the research program is to distinguish among these competing (or complementary) hypotheses. To understand the biomedical issues involved, a two-year program of training in epidemiology, biostatistics, Medicare claims data research, medical decision making, cardiology and oncology is proposed. These courses, along with seminars at Dartmouth Medical School and the National Bureau of Economic Research, will provide a long-term basis for health economics research.

The second part of the research will focus on individual elements of these hypotheses. Proposed studies in the medical area include documenting income-based differences in health care use, and measuring whether surgical intervention following AMI for high versus low income groups has systematically different effects on outcomes. There will be an emphasis on geographical-based differences in medical care intensity and practice; for areas with high levels of age-adjusted medical utilization, do more resources flow to higher income groups, and if so, how do health outcomes differ by income group? Economic research topics include: testing for whether households save adequately for retirement; if they do not, the extent to which such myopia affects retirement health outcomes. Finally, individual behavioral factors such as smoking or alcohol consumption are crucial to understanding how individual factors might simultaneously affect income, wealth, and health.

PROJECT NUMBER.....5 R01 AG09468-05

INVESTIGATOR NAME/ADDRESS

SLOAN, FRANK A

DUKE UNIVERSITY

125 OLD CHEMISTRY BLDG-BOX

AWARD AMOUNT..... \$94,042

902

DURHAM, NC 27708-0253

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: EFFECTS OF PUBLIC SUBSIDIES ON USE OF LONG TERM CARE

ABSTRACT:

DESCRIPTION: Strokes and hip fractures are major causes of long-term disability, institutionalization and mortality among elderly persons. These health conditions generate significant acute, post-acute, and long-term care (LTC) costs for Medicare, state Medicaid programs, and for the affected individuals and families. This application is a four year continuation study which builds on the investigators' current research examining the effects of public subsidies on families' long-term care decisions. They propose to evaluate the costs of these diseases and the cost-effectiveness/benefit of various interventions and public subsidies by collecting data from hospital charts for 1,162 National Long-Term Care Survey respondents who experienced a stroke or hip fracture between 1987 and 1994 to supplement data from prior NLTCs interviews and Medicare service data. The analyses will examine: 1) long-term effects of Medicare-subsidized rehabilitation services on mortality, health, functional, and cognitive status of stroke and hip-fracture patients; 2) assess the determinants of the amount of Medicare-subsidized services stroke/hip fracture patients receive following hospitalization; 3) determine social value of rehabilitative services relative to their costs; and 4) examine the effects of public subsidies of supportive care on living arrangements, and use of formal and informal care received by these patients. The models and strategies developed for stroke and hip fracture may be applicable for other types of diseases affecting the elderly.

PROJECT NUMBER.....5 R37 AG12394-03

INVESTIGATOR NAME/ADDRESS

SMITH, JAMES P

RAND CORPORATION

AWARD AMOUNT..... \$136,885

PO BOX 2138, 1700 MAIN ST

SANTA MONICA, CA 90406-2138

PERFORMING ORGANIZATION: RAND CORPORATION

TITLE: WEALTH DISPARITIES AMONG MATURE & OLDER ADULTS

ABSTRACT:

There is little known with any confidence about the adequacy of wealth for poor people and for our two most numerous minorities-Blacks and Hispanics. Due in part to this inadequacy of data, as well as the inherent difficulty of the issues, surprisingly little is known about what generates the enormous asset differences observed across socio-economic classes.

This project attempts to comprehensively describe the patterns of asset accumulation and savings among middle-aged and older American households. This description will be comprehensive in an important dimension often ignored in the literature. Most studies have used personal net worth, but this ignores large components of wealth-pensions and Social Security in particular. These often-neglected components are not only quantitatively large, but they are distributed quite differently across income and race than personal net worth is. By viewing all these components in combination as well as in isolation, new insights can be gained about the reality and motives that cause wealth differences across households.

The research will also examine the trajectories in these components and aggregates of wealth as these mature and older adults age. There is good a priori reason to believe that components of personal wealth such as pension and social security wealth have very different age trajectories than the more conventional definition.

The research will also attempt to isolate some of the underlying reasons and behaviors that may account for why the large wealth differences likely to emerge in this research exist. Such differences could result from differential inheritances and bequests, lower permanent income or poorer health, taste differences operating through time and risk preferences, high old age replacement rates through social insurance and pension programs, more extensive family support networks, and asset tests in means tested social insurance programs that discourage asset possession. Fortunately, HRS and AHEAD have data relating to all the factors mentioned in this paragraph.

Two important new data sets will be used-the Health and Retirement Survey (HRS) and Asset and Health Dynamics of the Oldest-Old (AHEAD). Combined, these two innovative surveys span the mature and older ages in the lifecycle. They hold the promise of significantly improved measurement of wealth both in the quality of individual items as well as the components of wealth that can be measured.

PROJECT NUMBER.....1 R03 AG14863-01

INVESTIGATOR NAME/ADDRESS

STINEBRICKNER, TODD R

UNIVERSITY OF MICHIGAN

AWARD AMOUNT..... \$48,100

PO BOX 1248, 426 THOMPSON ST

ANN ARBOR, MI 48106-1248

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: DYNAMIC MODEL OF THE LABOR DECISIONS OF OLDER WORKERS

ABSTRACT:

The first three waves of the new Health and Retirement Study (HRS) will be used to estimate a well-specified dynamic, discrete choice, utility-maximizing model. The proposed research will examine how a complex set of factors, including health status, job characteristics, health insurance, and beliefs about future uncertain events, interact to determine the labor decisions of individuals during the later part of their working lives. The HRS data, along with recent advances in estimation techniques and available computing power, make it possible to estimate a detailed model which can examine many of the specific retirement issues which are important to developing a better understanding of the retirement process as a whole. Health status has been found to be an important part of the labor Supply decisions made by older workers. Therefore, using newly developed estimation techniques, the proposed research will carefully model a detailed, endogenous process describing an individual's beliefs about future health status. This will allow the model to thoroughly examine how current health status and concerns about future health status affect an individual's attitudes and decisions regarding different types of job offers. The HRS facilitates this analysis by allowing a particular job to be described by a large set of non-pecuniary working conditions, as well as a set of pecuniary characteristics. Important realism is added to the model by allowing the individual to take into account that the individual job characteristics which compose the job offers that he receives are not independently determined. The structural nature of the model will be exploited to simulate the labor supply effects of changes in government programs, changes in legislation affecting the availability of health insurance, and changes in the overall health of the older population. The detail devoted to realistically modeling beliefs about future health status and job offers should allow better predictions of individual behavior.

PROJECT NUMBER.....1 R43 AG14327-01

INVESTIGATOR NAME/ADDRESS  
TRAPNELL, GORDON R  
ACTUARIAL RES CORPORATION  
6928 LITTLE RIVER TURNPIKE, ST  
ANNANDALE, VA 22003

AWARD AMOUNT..... \$99,995

PERFORMING ORGANIZATION: ACTUARIAL RESEARCH CORPORATION  
TITLE: PSO ACTUARIAL RATE MODEL FOR MEDICARE RISK CONTRACTS

ABSTRACT:

Expected liberalizations in the Medicare requirements for risk contracting will permit Provider Service Organizations (PSOs) to contract with Medicare without prior experience, while relying on complex risk sharing arrangements with providers in lieu of meeting capital and surplus requirements. Hundreds of new PSO plans are expected to be organized to take advantage of the new opportunities. Many of these new plans will involve a large number of interlocking subcapitation and risk sharing arrangements with hospitals, primary care physicians and specialists that can not be modeled with existing commercial products. To fill this need, and provide a sound basis for designing PSO based risk contracts for Medicare, a comprehensive actuarial rate model will be developed from actual Medicare data, with the capacities needed to determine the cost impact of specific subcapitation and risk sharing arrangements. Unique features of the new rate structure include: (1) derived from actual Medicare FFS and HMO claims data, (2) provide capacity to model capitation and other risk sharing arrangements, (4) model the effect of carving out specific professional procedures or hospital discharge diagnoses, (4) capacity to model managed care savings and substitution effects explicitly by type of provider, and (5) incorporate multiple stop loss reinsurance arrangements that affect limited sets of providers and services.

PROPOSED COMMERCIAL APPLICATION: Hundreds of Provider Service Organization (PSO) health plans are expected to be formed in response to liberalizations in qualifications of health plans that offer risk contracts in Medicare. The reduced requirements- esp, the reliance on complex capitation and other risk sharing arrangements among providers, the limited capitalization requirements, the absence of prior experience and sole reliance on Medicare contracts-will require very different actuarial tools than are currently available. In addition to PSOs, HMOs and other insurers provide potential markets for the kind of detail and analytical capacities planned for the models.

PROJECT NUMBER.....5 K01 AG00703-02

INVESTIGATOR NAME/ADDRESS  
WEIR, DAVID R  
HARRIS SCH; UNIV OF CHICAGO  
1155 E 60TH STREET  
CHICAGO, IL 60637

AWARD AMOUNT..... \$95,310

PERFORMING ORGANIZATION: UNIVERSITY OF CHICAGO  
TITLE: RESEARCH TRAINING IN ECONOMIC ASPECTS OF CHRONIC DISEASE

ABSTRACT:

This proposal creates a program of mentored research and training aimed at further developing the candidate's established research skills in economics, demography, and history to be of more specific relevance to the study of aging. The general, long-term goal of the proposed research is to study the evolution of chronic disease--its incidence, determinants, consequences and treatments--from the beginning of the modern decline in older-age mortality in the nineteenth century up to the present, with special emphasis on economic aspects of these issues. The specific program is in three parts, each of which involves an important but institutionally separate locus of aging research at the University of Chicago. This diversity will enhance the candidate's development, while the interdisciplinary nature of the research program will improve communication and the exchange of ideas among the groups.

Professor Robert Fogel will oversee the entire program as principal advisor and work directly with the candidate on research projects involving Fogel's NIA-sponsored Union Army study. The primary sample is detailed life histories of Civil War veterans linking evidence from military and pension records, censuses, and other sources to cover both economic and health histories. From these records we can study the interaction of health status and economic variables like retirement, savings, income, migration, and living arrangements in cohorts at an early stage in the decline of older-age mortality.

Professor Robert Willis (NORC, Harris School) will work with the candidate in studies using the Health and Retirement Survey, a longitudinal study of today's older cohorts. By comparing similar empirical models using similar data we can see how the economic determinants and consequences of health have changed over the epidemiologic transition. We also intend to explore ways to augment the HRS with historical evidence on the early-life experiences of the sample cohorts and individuals. The HRS will also be an important input into the third aspect of the research program.

Dr. Christine Cassel (Center for Health Studies and Chief, Section of Internal Medicine) will advise the candidate's training in the area of outcomes research, i.e., the use of both experimental (clinical trial) and non-experimental (survey) data in the economic evaluation of health treatments and interventions for the formation of policy. The training will include a modest amount of coursework in medical ethics, health policy, and statistical methods of epidemiological research. By placing the evaluation of specific interventions in the context of the long-term evolution of economic responses to health status we can better forecast the full costs and benefits of health policy to individuals, government, and society.

PROJECT NUMBER.....1 R43 AG14313-01

INVESTIGATOR NAME/ADDRESS

WILKIN, JOHN C

ACTUARIAL RESEARCH CORP

5513 TWIN KNOLLS ROAD

COLUMBIA, MD 21045

AWARD AMOUNT..... \$99,999

PERFORMING ORGANIZATION: ACTUARIAL RESEARCH CORPORATION

TITLE: LONG RANGE COST ESTIMATE MODEL FOR SOCIAL SECURITY

ABSTRACT:

The Social Security system in the U.S. is the primary source of economic security to the majority of older Americans. The current system is large and complex, and, due to the projected financing deficit, many changes have been proposed to the Social Security program. The objective of this project is to develop a financing model of the Social Security system that could be used by policy makers, researchers, and interest groups to create reasonable reform proposals and to evaluate the resulting effects on the system and beneficiaries. The financing model will be based on economic and demographic assumptions and will produce estimates of the year-by-year cash flow into and out of the Trust Funds, as well as the long-range cost rates, income rates, and actuarial balances. The model will also have the capability to analyze proposals to privatize all or some portions of the current program, and to show the net effect on beneficiaries (e.g., the adjusted social security benefit and the amount of the privately-financed annuity that would be available to beneficiaries). Currently, the Office of the Actuary at Social Security is the only entity, public or private, with the ability to make long-range cost estimates on the Social Security program. Even the Congressional Budget Office only has the ability to make short-range projections. Therefore, the proposal would create a unique and needed capability to analyze Social Security reform.

PROPOSED COMMERCIAL APPLICATION: The social Security (SS) financing model would be marketed to private groups interested in SS policy issues or reform, researchers and consultants, the Advisory Board on SS, insurance companies, and govt. agencies such as the CBO, the Office of the Actuary, SSA, and Congressional staff. Private groups that have not only expressed interest in SS reform, but currently have created task forces to study such issues, include the U.S. Chamber of Commerce, AARP, the Business Roundtable, the Cato Institute, the National Assn. of Manufacturers, the National Federation of Independent Business, the Council of Life Insurers, the American Bankers Assn., the Investment Co. Institute, and the Business Leadership Council.



PROJECT NUMBER.....5 U01 AG09740-08

INVESTIGATOR NAME/ADDRESS

WILLIS, ROBERT

UNIVERSITY OF MICHIGAN

3240 INST FOR SOCIAL RESEARCH

ANN ARBOR, MI 48106-1248

AWARD AMOUNT..... \$3,612,551

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: HEALTH AND RETIREMENT STUDY

ABSTRACT:

This is an application for a competing renewal of the five-year cooperative agreement with the National Institute on Aging, to design and collect data for a Health and Retirement Study (HRS). In the first five-year period, we designed the baseline survey for the birth cohorts of 1931-1941, screened 70,000 households to identify the eligible birth cohorts and their spouses, collected baseline data on some 12.6 thousand persons in some 7,700 households, collected data for the first follow-up survey (Wave 2), and collected employer data on health insurance and pension plans. This application covers years 6-10 of the HRS; it includes the design and data collection of two additional follow-up surveys for the original cohort (Waves 3 and 4), the introduction of a new cohort (those born 1942-1947 and their spouses), and an employer survey of health insurance and pension plans for the new cohort.

In the design of Wave 2, now in the field, we concentrate on updating various state conditions that are inherently discrete (marital status, housing status, family composition, disease conditions, disability status), remeasuring respondent characteristics that are inherently continuous (income flows, transfers, expenditures, net worth functional health, expectations and cognitive functioning), and reconstructing labor market status on a month-by-month basis over the interval between Waves 1 and 2. With these data, analysts can begin to assess the dynamics of retirement decisions. The design of Waves 3 and 4 is expected to follow closely on the design of Wave 2. The resulting dataset will permit analysts to estimate a variety of models designed to explain these crucial labor market outcomes, and to begin to understand the determinants of retirement and disability status in the environment of the 1990s.

In addition, we propose to add a new cohort in 1998, covering the birth cohorts of 1942-1947. The introduction of new cohorts on a systematic basis is a critical part of the design for a study like HRS, and will enable analysts to understand the evolution of retirement decisions and the economic and health consequences of aging throughout the critical next few decades.

Finally, we describe ways to improve the coordination between HRS and the related study of Asset and Health Dynamics Among the Oldest Old (AHEAD). The two studies should be tightly linked together in terms of content, since in the long-run HRS households would be expected to phase into the AHEAD age-range and be interviewed with the AHEAD survey instrument. While the two studies have a quite different analytical focus at present, content decisions and survey strategy need to be closely coordinated.

PROJECT NUMBER.....5 U01 AG12980-03

INVESTIGATOR NAME/ADDRESS

WILLIS, ROBERT

UNIVERSITY OF MICHIGAN

426 THOMPSON STREET

ANN ARBOR, MI 48109

AWARD AMOUNT..... \$2,196,343

PERFORMING ORGANIZATION: UNIVERSITY OF MICHIGAN AT ANN ARBOR

TITLE: ASSET AND HEALTH DYNAMICS AMONG THE OLDEST OLD

ABSTRACT:

The study of Asset and Health Dynamics (AHEAD) among the Oldest Old is currently funded as a competing supplement to the Health and Retirement Survey (HRS). AHEAD capitalizes on several cost-saving opportunities afforded by HRS. The HRS screening of some 69,000 households provided a unique opportunity to identify simultaneously households containing persons born in 1923 or earlier (aged 70+ in 1993). The labor intensive design phase of the HRS also yielded innovations in survey design (e.g., replicate sampling procedures, experimental modules, new approaches to non-response conversion) and measurement (e.g., bracketing non-responses to financial questions, probability scales, cognitive performance testing) which have important implications for understanding the dynamic interaction among health, financial well-being, and family resources in an older population.

AHEAD has been supported by two AWARDS under a cooperative agreement between NIA and the University of Michigan. The first AWARD (U01 AG09740, 4/1/92-12/31/92) supported the design phase of AHEAD; the second and current AWARD (U01 AG09740, 1/1/93-12/31/94) provides funds for baseline data collection. Like the HRS parent grant, the competing supplements provide support only for the collection and distribution of data to the research community.

AHEAD largely shares senior research and field staffs with HRS and the two surveys have a common interest in health and wealth dynamics. Nonetheless, they warrant separate consideration because the substantive issues which motivate them are sufficiently distinct, reflecting important differences in the life-cycle stages of their target populations and the public policy and social contexts unique to these stages.

PROJECT NUMBER.....2 K07 AG00635-04

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID A  
NATIONAL BUREAU OF ECON RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$86,080

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: GERIATRIC LEADERSHIP ACADEMIC AWARD

ABSTRACT:

DESCRIPTION: (adapted from the application): This application proposes a three year continuation of Dr. David Wise's academic leadership AWARD on the economics of aging. The initial AWARD was made in April, 1994 and approved through March, 1997. The purpose of the initial AWARD was to extend the National Bureau of Economic Research (NBER's) ongoing research program on the economics of aging to more comprehensively address issues in health, health care, and health policy for older Americans. Progress has been made in achieving this objective, first in developing extensive resources for health care research, second in assembling a team of scholars to work on health and aging issues, and third in initiating and coordinating a series of new projects on health and health care among the elderly.

The purpose of the continuation AWARD is to support the continued leadership of David Wise in coordinating the NBER aging project, and in developing new research initiatives on aging issues. A large part of the NBER's research agenda on aging and health care issues would proceed without the continuation AWARD. However, this AWARD will enable Dr. Wise to coordinate the many otherwise independent projects and activities into an integrated and cohesive effort, and will enable him to interact more extensively with other investigators in developing new research.

PROJECT NUMBER.....5 R37 AG08146-09

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID A  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$155,094

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: PENSION PLAN PROVISIONS AND EARLY RETIREMENT EXTENSION

ABSTRACT:

Americans are living longer, yet they are leaving the labor force at younger and younger ages. Possible improvements in health status would suggest the reverse. Firm pension plans, however, tend to encourage early retirement. The central goal of this continuing research is to estimate the effect of private pension plan provisions on retirement. A particular component of this general goal is to estimate the effect of special early retirement incentives, often called "window" plans. A related goal is to estimate the effect on Social Security net costs of the early retirement induced by private pension plan provisions. To accomplish this long-term objective, the research has several specific aims: (1) To document that pension plan provisions that provide an incentive to retire early do indeed induce departure from the firm. (2) To complete the development and testing of a statistical model that is tailored to the analysis of retirement behavior. The model is forward looking in that it accounts for large jumps or drops in pension wealth that will occur if work continues. At the same time, it accounts for changes in the circumstances and alternatives of individuals as they age. (3) To use the model to estimate the relationship between pension plan provisions and retirement in several different firms. (4) To test the model by predicting the retirement effect of "natural experiments" that are occasioned by special and unforeseen early retirement incentive programs. (5) To predict the effect on retirement of potential changes in the pension plan provisions. An example is the effect of increasing the age of early retirement in a firm from 55 to 60. Retirement in large numbers might then begin at 60 instead of 55, reducing substantially retirement rates between 55 and 60. (6) To estimate the relationship between retirement induced by corporate pension plan provisions and the net cost to the Social Security system. This involves evaluation of the interaction between Social Security provisions and private pension plan provisions, to estimate the magnitude of the effects of each on retirement. (7) To determine how private pension and Social Security provisions could be made consistent with respect to the retirement incentives that they present. The analysis will be based on personnel data collected from several individual firms. The empirical specification is a continuous time model in which the option value of not retiring plays a key role. The model captures the advantages of both non-linear budget constraint and continuous time hazard models.

PROJECT NUMBER.....5 R13 AG11570-05

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID A  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$30,000

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: SUMMER INSTITUTE WORKSHOP ON AGING AND HEALTH CARE

ABSTRACT:

DESCRIPTION (adapted from the application): The National Institute on Aging has supported part of the NBER's annual Summer Institute workshop on the Economics of Aging and Health Care since 1993. This application is to extend this funding from 1996 through 1998, enabling the program to continue to provide travel support for outstanding senior scholars and new investigators who are not otherwise affiliated with the NBER, and to initiate a new fully-integrated session on international and comparative studies in the economics of aging.

The NBER Summer Institute workshop on the Economics of Aging and Health Care is a five-day workshop held in late-July each year, bringing together about 100 scholars who have a common interest in economic analyses of aging and health care issues. While most of the participants are economists at universities in the United States, and most of the studies that are presented and discussed at the workshop are "economics" research, participants from other disciplines and from other countries have enriched the program significantly, as have economists who are not otherwise affiliated with the NBER. NIA support has been critical in enabling these outside scholars to attend the workshop, to enhance the workshop program, and to contribute a diversity of perspective to the discussions and interactions of the workshop as a whole.

Other NBER funds are available to support NBER-affiliated economists in the United States, and all local participants. The proposed NIA funding will enable an additional 25 scholars to attend the workshop. About 15 of these additional participants will be scholars from universities in the United States who are not otherwise affiliated with the NBER. About 10 of the additional participants will be scholars from universities abroad who will have a central role in the session on international and comparative studies, as well as enriching the perspective represented in all other aspects of the workshop program. Support is requested for three years, beginning with the workshop on July 22-26, 1996.

PROJECT NUMBER.....5 R01 AG11874-04

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID A  
NATIONAL BUREAU OF ECON RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$180,926

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: FIRM HEALTH INSURANCE PLANS

ABSTRACT:

Controlling Medicare expenditures has been the subject of a great deal of attention and research and a variety of reforms have been implemented or proposed to contain Medicare costs. Very little attention has been directed to the analysis of employer-provided insurance plans. Yet a large proportion of Americans are covered by employer plans and a large fraction of health care costs are paid by employer insurance. Indeed, the limited attention to employer plans is even more striking in light of the emphasis that current reform proposals place on the private sector. The provisions of employer plans and the associated health care cost vary widely across firms. The opportunity to analyze the effect of plan provisions on health expenditures, presented by the enormous variation in provisions and cost, has gone largely untapped. We propose to take advantage of employer experience through the use of a unique data set on employer health insurance claims, maintained by MedStat. The goal is to understand the determinants of employer-provided health insurance costs. The focus is on why medical costs vary so much among firms. To this end, there are several specific aims: (1) To describe the variation across firms and among plans in the same firm with respect to: total health care costs, the cost to the firm and to the employee, the incidence of treatment, the intensity of treatment given that treatment is sought, the allocation of expenditures by condition, and other attributes of health care. (2) To determine the relationship between firm workforce characteristics and health care costs. (3) To determine how health plan provisions influence the incidence of treatment and the intensity of treatment, including the incidence and treatment intensity of specific types of common health problems. (4) To understand the determinants of employee choice among alternative health plans offered by a given firm. (5) To simulate the effect of potential changes in health insurance provisions such as increases in employee premiums, restrictions on coverage in response to caps on the tax-deductibility of health care costs, or an increase in the age of Medicare eligibility. The analysis will be based on individual claims data from a sample of large firms with different health plan provisions and widely varying health insurance costs. Our hope is that an understanding of the determinants of the large differences in health insurance cost among firms will help to understand the likely effect of alternative proposals for containing health costs.

PROJECT NUMBER.....7 K01 AG00647-04

INVESTIGATOR NAME/ADDRESS  
WONG, REBECCA  
GEORGETOWN UNIVERSITY

AWARD AMOUNT..... \$90,000

WASHINGTON, DC 20057-1214

PERFORMING ORGANIZATION: GEORGETOWN UNIVERSITY

TITLE: ECONOMICS OF INTERGENERATIONAL TRANSFERS--US HISPANICS

ABSTRACT:

This proposal asks for support for five years to enable the principal investigator to develop research and obtain training in the economics of intergenerational transfers among U.S. hispanics. The proposed program of activities includes training and research, with the long-term goal of developing theoretical frameworks and methods to examine the economic consequences of population aging in immigrant and other minority populations.

The research project for years 1-2 of the AWARD has the following specific aims:

1) To describe the amount and nature of intergenerational private transfers in the forms of money, time, and coresidence, focusing on the differences between hispanic and non-hispanic populations. 2) Among the population of pre-retirement age, to measure the marginal propensity to provide these transfers to their elderly, with respect to the economic, health, and demographic characteristics of those giving and receiving transfers. And 3) To determine the extent to which the difference in the patterns of the three forms of intergenerational private transfers between hispanics and non-hispanics can be explained by the economic, health, and demographic characteristics of the populations. The data used in the analysis for year 1 comes from the first wave of the Health and Retirement Survey, and the second wave will be added to the analysis in year 2.

***Centers, Program Projects, Subprojects***

PROJECT NUMBER.....5 P01 AG05842-12

INVESTIGATOR NAME/ADDRESS

DEATON, ANGUS

NATL BUREAU OF ECONOMIC RES

1050 MASSACHUSETTS AVENUE

CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$130,585

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: ECONOMICS OF AGING

SUB TITLE: SAVINGS IN DEVELOPED AND DEVELOPING COUNTRIES

**ABSTRACT:**

The goal of the research is to study the effects of demographic change, particularly of population aging, or patterns of saving and inequality using data from East Asia, the United States and Great Britain. The use of the data from both developing and developed countries allows an explicitly comparative approach, which will be pursued, not at the level of national aggregates, but by comparing the internal structure of the economies using microeconomic data or household behavior. Time-series of household surveys for each country will be used to decompose earnings, incomes, savings rate, and inequality in income and consumption into components attributable to age and cohort effects. Isolation of age effects will allow an assessment of the contribution of demographic structure to differences in national levels of saving and inequality, both over time within countries and across countries. The proposed research has several specific aims: (1) To assess likely changes in saving, inequality, and poverty as populations age. (2) To examine the implication of standard life-cycle theories of savings for inequality in income and consumption. (3) To understand better the relationship between inequality and economic development (the Kuznets curve), with particular emphasis on the relationship between economic growth, population aging through demographic transition, and widening inequality. (5) To consider the effects of social security systems in developing countries, and the extent to which the introduction of such systems is likely to affect saving, inequality, and poverty. (6) To contribute more generally to our understanding of saving, to try to draw lessons from the high saving, high growth countries of East Asia for low growth, low savings countries like the US and the UK, and to draw lessons about aging and social security systems from the experience of the US and the UK to help guide policy in developing countries.



PROJECT NUMBER.....5 P01 AG05842-12

INVESTIGATOR NAME/ADDRESS  
GARBER, ALAN M  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$130,585

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: ECONOMICS OF AGING  
SUB TITLE: MEDICARE EXPENDITURE GROWTH--PAST AND FUTURE

ABSTRACT:

This subproject investigates the evolving structure of Medicare expenditures in order to: identify the groups of enrollees and types of care responsible for expenditure growth; project future expenditures for the Medicare program; and assess the impact of alternative policies toward controlling the growth of Medicare outlays.

The primary data source for the proposed analysis is the Continuous Medical History Sample, a data base created from Health Care Financing Administration files. Both aggregate and longitudinal files will be constructed from these data to analyze individuals-specific expenditure patterns, to characterize disease-specific expenditures, and to identify major factors underlying Medicare expenditure growth. The cohort analyses, also based on these data, explore the distribution of Medicare expenditures across and within cohorts, and the Medicare outlays and for exploring the impact of such policy options as modifying deductibles, caps on benefits, and the eligibility age. They can also be used to assess the likely impact of restrictions on the rate of the dissemination of new technologies.

PROJECT NUMBER.....5 P01 AG05842-12

INVESTIGATOR NAME/ADDRESS  
HURD, MICHAEL  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$130,585

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: ECONOMICS OF AGING  
SUB TITLE: SUBJECTIVE BELIEFS AND SAVINGS BEHAVIOR

ABSTRACT:

The aim of the subproject on the Subprojects Beliefs and Savings Behavior is to measure subjective probabilities of morality, and other economic and health events, and to relate to those beliefs to saving behavior. The first question is whether the elderly are "rational" in their life-cycle planning, given their beliefs. The second is whether these beliefs are realistic. A final aim of the project is to identify the size and correlates of the subpopulation of the elderly that are economically stressed, and determine the extent to which this condition is the result of "bad luck", remediable with an actually fair insurance program, or is the result of bad planning or unrealistic beliefs, and thus less amenable to correction via a voluntary market solution. This subproject will use newly available panel data, including questions on subjective probabilities, from the Health and Retirement Survey (HRS) and the Survey of the Asset and Health Dynamics Among the Oldest-Old (AHEAD).

PROJECT NUMBER.....5 P01 AG05842-12

INVESTIGATOR NAME/ADDRESS  
MCFADEN, DANIEL  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$130,585

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: ECONOMICS OF AGING  
SUB TITLE: HEALTH, WEALTH AND DIFFERENTIAL MORTALITY

ABSTRACT:

The objective of the subproject on Wealth, Health, and Differential Mortality is to investigate the dynamics of wealth, health status, and mortality risk. It will examine four (not necessarily exclusive) hypotheses about the correlation between wealth and mortality risk: [1] Poor health causes low wealth, via current and cumulative medical expenditures and lost earning opportunities; [2] Low wealth causes poor health, but to limitations on the availability or utilization of medical care; [3] Low wealth is associated with myopic behavior that both limits saving and increases exposure to risk factors, such as smoking, which cause poor health; and [4] Individuals have private information on their robustness, which is heterogeneous in the population, and individuals who on average live longer also accumulate more to optimize their lifecycle consumption. The subproject will use newly available panel data from the Survey of Income and Program Participation (SIPP), and the Survey of the Asset and Health Dynamics Among the Oldest-old (AHEAD).

PROJECT NUMBER.....5 P01 AG05842-12

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$130,585

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: ECONOMICS OF AGING  
SUB TITLE: FINANCIAL STATUS--II

ABSTRACT:

The general goal of the analysis is to understand the effect of the Canadian Registered Retirement Saving Plan (RRSP) on the financial status of the elderly in Canada and to compare the Canadian RRSP experience with IRA and 401(k) experience in the United States. The analysis should improve general understanding of how such programs can affect saving behavior and the well-being of the elderly. The Canadian experience affords a unique opportunity to evaluate the effects of a long standing program that is struttred very much like Individual Retirement Accounts in the United States. The Canadian data are ideally suited to evaluated the net saving effect of the RRSP program in a way that is easily compared with the U.S. IRA experience. In addition, the Canadian data offer two further opportunities. Because there is no penalty for withdrawal of RRSP funds before retirement, it is natural to evaluate the extent to which contributions are "locked in" until retirement. The data also allow evaluation of the saving effect of the new carry-forward provision, the effects of which are not easily predicted based on standard financial models of retirement behavior. To this end, there are six specific aims: (1) To determine from micro data how individuals saving in other forms changed as RRSP saving increased in the period since 1969. (2) To determine the extent to which RRSP saving is dedicated to retirement, even though in Canada there is no penalty for withdrawal of funds before retirement. (3) To estimate a formal model aimed at determining the net saving effect of the RRSP plan, to consider out-of-sample tests of the model's predicative validity, and to test the formal model results against alternative non-parametric estimates of the degree of substitution between RRSP and other forms of financial assets saving. (4) To understand the effect on saving of the new RRSP carry- forward provision that was introduced in 1992. (5) To project contribution rates forward to determine the effect of the RRSP program on the wealth of the elderly. (6) To contribute more generally to our understanding of the determinants of saving behavior.

PROJECT NUMBER.....5 P01 AG05842-12

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$130,585

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: ECONOMICS OF AGING  
SUB TITLE: FIRM MEDICAL PLANS

ABSTRACT:

Controlling Medicare expenditures has been the subject of a great deal of attention and research and a variety of reforms have been implemented or proposed to contained Medicare costs. Very little attention has been directed to the analysis of employer-provided insurance plans. Yet a large proportion of Americans are covered by employer plans and a large fraction of health care costs are paid by employer insurance. Indeed, the limited attention to employer plans is even more striking in light of the emphasis that current reform proposals place on the private sector. The provisions of employer plans and the associated health care cost vary widely across firms. The opportunity to analyze the effect of plan provisions on health expenditures, presented by the enormous variation in provisions and cost, has gone largely untapped. We propose to take advantage of employer experience through the use of a unique data set on employer health insurance claims, maintained by MedStat. The goal is to understand the determinants of employer-provided health insurance cost. The focus is on why medical costs vary so much among firms. To this end, there are several specific aims: (1) To describe the variation across firms and among plans in the same firm with respect to: total health care costs, the cost to the firm and to the employee, the incidence of treatment given that treatment is sought, the allocation of expenditures by condition, and other attributes of health care. (2) To determine relationship between firm workforce characteristics and health care cost. (3) To determine how health plan provisions influence the incidence of treatment and the intensity of treatment, including the incidence and treatment intensity of specific types of common health problems. (4) To understand the determinants of employee choice among alternative health plans offered by a given firm. (5) To stimulate the effect of potential changes in health insurance provisions such as increases in employee premiums, restrictions on coverage in response to caps on the tax-deductibility of health care cost, or an increase in the age of Medicare eligibility. The analysis will be based on individual claims data from a sample of large firms with different health plan provisions and widely varying health insurance costs. Our hopes is that an understanding of the determinants of the large differences in health insurance cost among firms will help to understand the likely effect of alternative proposals for containing health costs.

PROJECT NUMBER.....5 P01 AG05842-12

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$130,585

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: ECONOMICS OF AGING  
SUB TITLE: CORE--NEW DATA ACQUISITION

ABSTRACT:

We propose: (1) to obtain proprietary data from Medstat for a comprehensive analysis of health costs in large firms, and (2) to obtain data collected by the Canadian government through the Family Expenditure Survey (FEX) that will be used to analyze retirement saving in Canada.

The analysis of firm health care costs (subproject 7) requires the purchase of a proprietary longitudinal database on health care plans, utilization, and supplementary information for a set of 45-50 very large firms from Medstat Inc. Medstat, a division of SysteMetrics Inc., specializes in providing health care data management services for approximately 80 clients, most of which are Fortune 500 companies. Medstat's unique claims management services include processing all insurance claims for their clients in a standardized format, clarifying and correcting problems that may arise in the raw data, and maintaining these longitudinal databases for clients. At this time, there is no public or proprietary database that can provide information comparable to that available from Medstat.

The principle source of data for the financial status two subproject on the Canadian RRSP program is the Canadian Family Expenditure Survey. This survey has been conducted in 15-17 cities approximately every two years since 1952. National coverage is provided in 1969, 1974, '978, 1982 and 1986. The national samples contain approximately 10-11,000 families. These data will be used to support the cross-section and cohort analyses described more fully in the subproject proposal. A unique feature of these data that will be exploited in the proposed analysis is the measurement of saving "flows". For all major asset components, the survey measures contributions to and withdrawals from asset stocks.

PROJECT NUMBER.....5 P01 AG05842-12

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID A  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$1,044,677

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: ECONOMICS OF AGING

ABSTRACT:

The ongoing Program Project on the Economics of Aging is a coordinated series of investigations that analyze the economic circumstances and health care of the elderly. It addresses issues that are particular importance to the well-being of individuals as they age and to a society at large that will be composed increasingly of older persons. By addressing simultaneously several important and interrelated issues, the aim is to achieve a better understanding of aged than would emerge from separate research efforts. A unified approach with aging as a focus can lead to a whole substantially greater than the sum of its parts. The program project will continue to be coordinated through an administrative and support core, and will be composed of a data acquisition core together with eight subprojects: (1) financial status one, (2) financial status two, (3) subjective beliefs and saving, (4) wealth, health, and differential mortality, (5) aging and saving in developed and developing countries, (6) international comparisons, (7) firm health care, and (8) Medicare expenditure growth. As in the work to date, the selection of new research topics has been guided by the questions that in the judgment of the research group will be of primary and increasing concern with an aging population. In addition to the principal investigator and the other senior investigators, each of the subprojects will involve a small number of key personnel, for whom funding is requested. This group will form the central research team. The overall work of the National Bureau of Economic Research on the economics of aging, however, will involve a considerably larger group. The coherence of the project is assured through many small-group meetings in Cambridge, summer institutes, formal conferences, and informal subproject meetings. An important goal of the project is to attract younger faculty and graduate students to research on the economics of aging. The project will direct a great deal of research talent to the economics of aging over the next several years. In addition, the project will leave in its wake a large number of economists who are well-versed in the economic, health, and social problems of the elderly and who will in turn encourage graduate students and others to direct their attention to these issues.

PROJECT NUMBER.....5 P20 AG12810-04

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID A  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$438,612

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: NBER CENTER FOR AGING AND HEALTH RESEARCH

ABSTRACT:

This is an application to establish a Center for Aging and Health Research, encompassing all of the NBER's activities in this area, as well as serving the broader community of investigators interested in aging and health research. Over the past eight years, the NBER's work on aging and health issues has expanded from a few pilot projects to become the largest NBER program area. The Center resources proposed in this application will integrate the many research projects and related NBER activities in this area into a unified and cohesive effort that can continue to develop productively.

The Center will include four core components. (1) The administrative and research support core will coordinate all of the NBER's activities in aging and health, establish and maintain a library of data resources useful for aging and health research, and provide data management services to all researchers using this data. (2) The program development core will support exploratory research on important issues that in most cases will serve as the foundation for larger projects. (3) The external innovative network core will engage a large international group of scholars in research related to population aging and the health and well-being of the elderly. (4) The external research resources support and dissemination core is designed to make research results more widely available, more accessible to non-specialists, and more useful in informing public policy. In particular, this core will consolidate research results into a series of summary reports on selected issues in aging and health.



PROJECT NUMBER.....5 P20 AG12810-04

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID A  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$146,204

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: NBER CENTER FOR AGING AND HEALTH RESEARCH  
SUB TITLE: CORE--PROGRAM DEVELOPMENT

ABSTRACT:

The program development core will support exploratory research on important topics through small AWARDS to investigators for research support, research assistance, and related expenses. The AWARDS will serve several purposes. First, program development funds enable us to obtain preliminary results and background information that is essential in mounting larger-scale research projects. Indeed most of the small AWARDS funded through this core will lead to more comprehensive projects that follow up on the preliminary work. Second, program development funds are an effective means of attracting outstanding investigators to work on issues in health and aging. After becoming engaged in small-scale exploratory work, new investigators gain experience and appreciation for research in this area, and often pursue more comprehensive analyses that follow up on their initial work. New investigators also become involved in the broader activities of the NBER Center, and in interacting with the network of investigators who are associated with the Center. Third, program development funds enable us to immediately initiate research on specific topics, without the delays associated with grant application and review procedures. This rapid response capability is particularly important when specific analyses and research results can be of immediate value in informing public policy decisions.

PROJECT NUMBER.....5 P20 AG12810-04

INVESTIGATOR NAME/ADDRESS  
WISE, DAVID A  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$146,204

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: NBER CENTER FOR AGING AND HEALTH RESEARCH  
SUB TITLE: CORE--EXTERNAL INNOVATIVE NETWORK

ABSTRACT:

The goal of the external innovative core is to engage international researchers in the intellectual issues posed by an aging population. This core will establish and maintain relationships with a network of international researchers, who will be encouraged to develop studies on population aging and the well being of the elderly in their respective countries. Because the NBER already has an active group of international research affiliates, the NBER is in a unique position to promote and engage researchers from other countries. Most of the funds in this core are for travel and meeting expenses that bring together this international network of scholars to present comparative studies, and to discuss issues in aging and health from a breadth of perspectives that is only possible through international collaboration. These "Aging Around the World" meetings will typically be organized around specific topics in aging or health, and participants will be expected to conduct parallel analyses on these topics using data from their own countries. International network affiliates will also be encouraged to participate in other meetings and activities of the Center, such as the annual Summer Institute workshop.

PROJECT NUMBER.....5 P20 AG12810-04

INVESTIGATOR NAME/ADDRESS  
WOODBURY, RICHARD G  
NATL BUREAU OF ECONOMIC RES  
1050 MASSACHUSETTS AVENUE  
CAMBRIDGE, MA 02138

AWARD AMOUNT..... \$146,204

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: NBER CENTER FOR AGING AND HEALTH RESEARCH

SUB TITLE: CORE--EXTERNAL RESEARCH RESOURCES SUPPORT AND DISSEMINATION

ABSTRACT:

The key role of the external research resources support and dissemination core at the NBER is to enhance the communication and dissemination of research results. First, research results from individual studies will be translated into brief summaries that are directed toward non-specialists. Second, research results from many related studies will be consolidated into comprehensive summary reports, so that a broader understanding of issues can be achieved than is possible from individual studies. And third, this core will provide a general repository of information about aging and health research that can respond to inquiries that may arise. The value of this core is not in extending scientific research activity, but in making it more widely available, and more useful in informing policy decisions.

## **Population Epidemiology**

PROJECT NUMBER.....5 R44 AG12309-03

INVESTIGATOR NAME/ADDRESS  
BARNEY, HAROLD L  
ACTUARIAL FORECASTING & RESEARCH  
PO BOX 585  
HOLICONG, PA 18928

AWARD AMOUNT..... \$246,932

PERFORMING ORGANIZATION: ACTUARIAL FORECASTING AND RESEARCH  
TITLE: CONTINUING CARE RETIREMENT COMMUNITY EXPERIENCE DATA

ABSTRACT:

DESCRIPTION: This project will develop a valid data base to allow objective analysis of continuing care retirement communities (CCRCs) and other senior congregate living arrangements based on data specific to those facilities. In contrast to current generic databases, this database, designed for updating and future enhancement, will be built from the collection of 100,000 life years of CCRC experience. This new database will allow the development of tools to provide sound financial projections of future costs and determine whether a CCRC is priced and reserved appropriately or whether the promises are empty.

Phase I defined the community and resident data to be captured, established common definitions and designed flexible computer software for data collection. Phase II will collect, validate, merge and analyze the data. Morbidity and mortality standards for an insured older population (CCRC residents) will be produced from the database for use in secondary research and financial modeling of CCRCs. Applicable factors reflecting differences between communities' resident transition rates will be developed.

The data base will be available to researchers at cost and to commercial users at a profit. Flexible data collection and management information software will be sold to CCRCs. Financial models based on new rates of mortality and transition will be marketed to existing and developing CCRCs to enhance financial viability over the long term.

PROJECT NUMBER.....7 R01 AG11042-03

INVESTIGATOR NAME/ADDRESS

BERKMAN, LISA F  
HARVARD UNIVERSITY  
KRESGE BUILDING  
BOSTON, MA 02115

AWARD AMOUNT..... \$284,165

PERFORMING ORGANIZATION: HARVARD UNIVERSITY

TITLE: PHYSICAL AND COGNITIVE FUNCTIONING IN OLDEST-OLD

ABSTRACT:

The long-term objectives of this research are to understand the psychosocial, behavioral and biomedical determinants of differential trajectories of physical and cognitive function in the elderly. We are especially interested in identifying protective factors that promote the retention of higher levels of cognitive or physical function into very old age or those that promote resilience or ability to recover after significant medical events. We aim to accomplish this by conducting an 11 year follow-up survey of the New Haven EPESE, a community-based epidemiologic cohort study of 2812 men and women who were living, non-institutionalized in New Haven, CT in 1982. The cohort has been under continual surveillance for hospitalization, nursing home admission, and mortality since 1982. Subjects have had in-depth face-to-face assessments of physical and cognitive function in 1982, 1985, and 1988 with briefer telephone contacts in interim years. 1457 subjects were alive at the end of 1991. Approximately 1250 will be available to participate in a fourth face-to-face assessment. We propose to reinterview and re-examine subjects in 1993-1994, conduct surveillance in all 3 years and analyses in Years 02 and 03.

The specific aims are:

1. To determine and describe the cognitive and physical abilities of a population-based cohort of men and women all of whom will be at least 75 years of age in 1993 and for whom there will be 11 years of data on longitudinal changes in function.
2. To test hypotheses concerning the role of socioeconomic status, social networks and support, social participation, health practices such as smoking, alcohol consumption and physical activity and biomedical risk factors such as obesity, high blood pressure and diabetes in predicting the retention or decline in physical and cognitive function.
3. To obtain detailed clinical information on three acute-onset medical events: MI, stroke, and hip fracture and investigate the factors that predict long-term course of cognitive and physical function and risk of institutionalization controlling for detailed clinical conditions related to prognosis.

The strengths of this study are 1) its heterogeneous population-based sample with high response rates (between 90-97%) on all follow-up surveys and less than 1% of subjects lost to follow-up; 2) a decade of rich longitudinal data on both risk and protective factors and outcomes; 3) multiple hospital and long-term care surveillance systems which identify and verify over 95% of such events; 4) a cohort which is now entering its period of highest risk.

PROJECT NUMBER.....5 R01 AG12765-03

INVESTIGATOR NAME/ADDRESS

BLAZER, DAN G, II

DUKE UNIV. MEDICAL CENTER

AWARD AMOUNT..... \$408,350

BOX 3005

DURHAM, N C 27710

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: PIEDMONT HEALTH SURVEY OF THE ELDERLY (PHSE) TEN YEAR FOLLOW UP

ABSTRACT:

Investigators of the Piedmont Health Survey of the Elderly (Established Populations for Epidemiologic Studies of the Elderly/Duke) propose to perform a ten-year, fourth in-person follow-up of the North Carolina Piedmont cohort initially interviewed in 1986/87. Of the original 4,162 community-dwelling elders 65+ years of age, equally distributed between urban versus rural residence and Black versus non-Black race/ethnicity, it is anticipated that 2,060 subjects or proxy respondents will be available for interview. The purpose of this follow-up study is to obtain information on four primary outcome variables (cognitive status, depression, functional status, and mortality) and four primary independent variables (social support, social class, social location, and chronic illness). By using data from four in-person interviews across the ten years of follow-up, investigators will be able to characterize trajectories of the major dependent variables and their relationship to the independent variables over time. This will provide valuable information about change and stability, as well as heterogeneity in the dynamics of change. The major goal is to examine the relationships between social factors and chronic disease on the one hand, and health outcomes on the other. In order to examine both intraindividual change and the effects of variables that differ across individuals, hierarchical linear models (HLM) will be the primary method of analysis. Data gathered at four points in time across ten years will permit sophisticated analytic techniques to be applied to a data set of superior quality, from a diverse racial/ethnic and geographically-distributed sample which exhibits appreciable variation over time in the areas listed above.

PROJECT NUMBER.....2 R01 AG11705-03A1

INVESTIGATOR NAME/ADDRESS  
FERRARO, KENNETH F  
PURDUE UNIVERSITY  
1365 STONE HALL  
WEST LAFAYETTE, IN 47907-1365

AWARD AMOUNT..... \$146,090

PERFORMING ORGANIZATION: PURDUE UNIVERSITY WEST LAFAYETTE  
TITLE: AGING AND HEALTH ASSESSMENTS AMONG BLACK AND WHITE ADULTS

ABSTRACT:

DESCRIPTION (Adapted from Investigator's abstract): This study is designed to examine change in physical health status among White and African-American adults using two nationally representative panel studies. It is widely known that African-Americans have more health problems than White Americans as manifested on most indicators of morbidity and mortality. This research examines the racial disparity in health between Black and White adults and seeks to identify the mechanisms of more rapid health declines.

The two surveys used in the analysis are: (1) The National Health and Nutrition Examination Survey I: Epidemiological Follow-up Study (NHEFS) and (2) Americans' Changing Lives (ACL). NHEFS follows 6,931 adults over 20 years while ACL follows 3,617 adults over 2.5 years; both surveys contain extensive health information. A prospective research design is used to evaluate health trajectories among Black and White men and women. Specific aims are to: (1) Compare changes in health status among Black and White subjects over the duration of the panel studies incorporating selection bias models (e.g., Heckman) to account for attrition. (2) Examine the role of socioeconomic resources for maintaining health among Black and White adults, with special attention given to interactions between race and socioeconomic variables. (3) Investigate whether religion influences health for Black and White adults. (4) Model mortality risk for Black and White NHEFS subjects over the twenty year period.

Data from the NHEFS will be used for aims 1,2, and 4, while data from the ACL will be used for aims 1,2, and 3. These surveys provide the scientific community with hitherto unavailable information for understanding health trajectories in adulthood and later life among Black and White persons.



PROJECT NUMBER.....5 R01 AG11703-04

INVESTIGATOR NAME/ADDRESS

FRIED, LINDA P

JHU SCH OF MED

AWARD AMOUNT..... \$403,671

2024 E MONUMENT ST, SUITE 2-60

BALTIMORE, MD 21205

PERFORMING ORGANIZATION: JOHNS HOPKINS UNIVERSITY

TITLE: RISK FACTORS FOR PHYSICAL DISABILITY IN AGING WOMEN

ABSTRACT:

Physical disability is a serious and frequent consequence of the burden of chronic disease and physiologic changes associated with aging. With the aging of the U.S. population, there is increasing concern to understand how to decrease this burden of disability, preventing both its onset and progression. To develop effective methods for primary prevention of disability, it is necessary to define those at risk of disability, as well as its causes. To these ends, this study proposes, first, to identify early decrements in physical functioning in women 65 years and older, termed "preclinical disability," and to demonstrate whether these changes identify those at high risk of becoming disabled and are predictive of future disability. Second, we will evaluate the diseases that are risk factors for the onset of preclinical disability and its progression to full-fledged disability and dependency, as well as the hypothesized modifiers of this relationship. This will be addressed through a longitudinal, observational study involving three examinations (at 18 month intervals) of 600 women 70-79 years of age. These women will be recruited from a representative, racially diverse, population-based sample of 5,500 women 65 years and older in Eastern Baltimore during screening for the Women's Health and Aging Study; this latter study will recruit the 1,000 most disabled women. We propose to utilize this already-funded effort to recruit for this study 600 women who are non-disabled, and in the high risk age group for becoming disabled. They will be evaluated in the Johns Hopkins Functional Status Laboratory, in a one-day multidisciplinary examination of physical function as measured by self-report and performance-based measures of preclinical and clinical disability, health status (measured by self-report and laboratory-based examination) - both disease-based and physiologic changes of aging; and hypothesized modifiers of function, including cognition, education and psychosocial function. Natural history of preclinical disability, the development of disability and the risk factors for transitions in functional status will be analyzed cross-sectionally and longitudinally. The results of this study will help to define those older women at risk of disability, and the potentially alterable risk factors that could be developed into effective interventions to prevent disability in aging women.

PROJECT NUMBER.....5 R01 AG11758-04

INVESTIGATOR NAME/ADDRESS  
HAYWARD, MARK D  
PENNSYLVANIA STATE

UNIVERSITY

AWARD AMOUNT..... \$97,495

110 TECHNOLOGY CENTER  
UNIVERSITY PARK, PA 16802

PERFORMING ORGANIZATION: PENNSYLVANIA STATE UNIVERSITY-UNIV PARK  
TITLE: ACTIVE LIFE EXPECTANCY IN THE OLDER POPULATION

ABSTRACT:

DESCRIPTION: Using the Health and Retirement Survey, the proposed research will investigate the effects of socioeconomic status (SES) on chronic health problems and disability for a nationally representative sample of middle-aged and older persons. Specifically, the aims of the proposed research are to (1) determine the SES gradient across types of health problems defining the course of the disablement process and (2) investigate how SES differences in health changes are related to differential exposure to unhealthful and demanding work environments, risky health behaviors, and access to and utilization of medical care.

PROJECT NUMBER.....5 R01 AG11567-03

INVESTIGATOR NAME/ADDRESS

IDLER, ELLEN L

RUTGERS, STATE UNIVERSITY

30 COLLEGE AVE

NEW BRUNSWICK, NJ 08903

AWARD AMOUNT..... \$95,289

PERFORMING ORGANIZATION: RUTGERS THE STATE UNIV NEW BRUNSWICK

TITLE: EPIDEMIOLOGY OF SELF RATED HEALTH AND FUNCTIONAL ABILITY

ABSTRACT:

Self-ratings of health by individuals responding to surveys have shown themselves to be potent predictors of mortality in a growing number of studies. Regardless of the amount or quality of the other health data available in the survey, the individual's global self-rating of health as excellent, good, fair, or poor retains an independent predictive effect on mortality. A key question raised by these studies is, do poor self-assessments increase the risk of mortality only, or do they also increase the risk of morbidity during the remaining years of life? The goal of this project is to assess the impact of self-ratings of health on subsequent health status as measured by functional ability in activities of daily living.

The project will start with preliminary findings from the Yale Health and Aging Project, one of the four Established Populations for Epidemiologic Studies of the Elderly (EPESE) sites. These data show that self-ratings of health in 1982, net of baseline functional ability, health, and sociodemographic status, are associated with changes in functional ability over periods of one and two years. The first year of the project will enlarge these findings by analyzing data from each of the additional follow-up years of 1985 through 1988; by doing sex-specific analyses; by taking different approaches to the measurement of functional ability; and by looking for differences between demographic subgroups. The aim will be to see if the initial findings hold for the entire follow-up period, for important subgroups, and for various levels of disability. The second objective with these data will be to better understand the meaning of self-ratings vis-a-vis changes in functioning, by testing various psychosocial measures as explanatory mechanisms. Depression, hope, or optimism about the future, social isolation, religious involvement, and somatic concern, are all possible explanations of the observed effect for which indicators are available in the New Haven EPESE data.

The models estimated for the New Haven EPESE data will then be tested with the NHANES I Epidemiologic Follow-up Studies (NHEFS) for 1982-84 and 1987, in which extensive data on functional ability are available. The NHEFS is a nationally representative probability sample, thus the models estimated for an elderly population can be tested with a sample representing all U.S. adults. Excellent psychosocial data are also available in the NHEFS.

Together these studies should contribute substantially to our understanding of the meaning of excellent, good, fair and poor ratings of health, and their implications, not just for survival, but for the loss and recovery of functional ability in daily life.

PROJECT NUMBER.....5 R01 AG10147-04

INVESTIGATOR NAME/ADDRESS  
KOEPESELL, THOMAS D  
UNIVERSITY OF WASHINGTON  
SCH OF PUB HLTH/COM MED SCH  
SEATTLE, WA 98195

AWARD AMOUNT..... \$263,098

PERFORMING ORGANIZATION: UNIVERSITY OF WASHINGTON  
TITLE: CASE CONTROL STUDY OF OLDER PEDESTRIAN INJURY SITES

ABSTRACT:

Each year in the U.S., over 7,000 pedestrians are killed and over 80,000 are injured when they are hit by a motor vehicle. Adults over age 65 are at especially high risk, in part because of declines in sensory, cognitive, and motor function that accompany aging and affect performance as a pedestrian. Most pedestrian/motor vehicle collision (PMVC) injuries to older adults occur at urban street crossings.

The proposed project will attempt to determine the degree to which four environmental features of urban street crossings affect the risk of PMVC injury to older pedestrians. Specifically, it is hypothesized that increased risk is associated with (1) presence of a marked crosswalk. (2) absence of a pedestrian signal, (3) traffic cycle timing that fails to allow for the slower walking speeds of many older adults, and (4) presence of visual obstructions that prevent approaching drivers from seeing pedestrians as they enter the crossing.

A case control study will be conducted in Seattle and Tacoma, Washington, and Long Beach, California. The units of study will be street crossings. The 'case crossings' will be street-crossing sites (n=331) at which a pedestrian aged 65 or over suffered a fatal or non-fatal PMVC injury, as identified prospectively over a 4-year period. The 'control crossings' will consist of other sites in the same census block group but at which no such injury occurred (n=662). On-site observations will be made at each case and control crossing on the same day of the week and time of day as the PMVC injury event. These observations will include assessment of (1) the presence, type, and condition of crosswalk markings; (2) the presence and type of pedestrian signals; (3) traffic signal timing; and (4) presence of parked vehicles, vegetation, or other visual obstructions near the crossing that interferes with drivers' view of pedestrians in it. The on-site observers will also measure physical parameters of the street and characterize vehicular and pedestrian traffic at the crossing. Data analysis will employ statistical methods suitable for matched case-control studies (chiefly conditional logistic regression) to determine the degree to which the four modifiable crossing characteristics are associated with increased PMVC risk to older adults, while controlling for vehicular and pedestrian traffic characteristics and other confounding factors.

The findings should be useful to traffic engineers, urban planners, and those involved in health promotion/disease prevention in the elderly. Because of the difficulty of achieving widespread changes in the behavior of drivers and pedestrians, modification of the pedestrian environment offers an attractive alternative way to protect elderly people from injury as they cross the street.

PROJECT NUMBER.....1 R03 AG15179-01

INVESTIGATOR NAME/ADDRESS

KUKULL, WALTER A

UNIVERSITY OF WASHINGTON

AWARD AMOUNT..... \$70,161

PO BOX 357236

SEATTLE, WA 98195

PERFORMING ORGANIZATION: UNIVERSITY OF WASHINGTON

TITLE: EARLY LIFE RISK FACTORS FOR ALZHEIMERS DISEASE

ABSTRACT:

Introduction - Epidemiological studies have linked the early-life socioeconomic environment and its affects on growth and maturation of children to many adult chronic disease: heart disease, stroke, hypertension, diabetes mellitus, and chronic obstructive lung disease. This proposed study will collect secondary data to evaluate a possible early-life link to Alzheimer's disease (AD). AD is a neurodegenerative disorder characterized by neurofibrillary changes and amyloid deposits. The areas of the brain that show the earliest signs of AD (e.g., hippocampal formation, intracortical association areas, reticular formation) are the same areas of the brain that take longest to mature during childhood and adolescence. A poor childhood environment could prevent the brain from reaching complete adult levels of maturation. This inadequate level of maturation may put people at higher risk for AD.

Objectives - We are proposing to investigate if the early-life factors such as father's occupation, number of siblings, mother's age, all which influence growth and maturation are associated with Alzheimer's Disease (AD). If deficient maturation is associated with a less developed brain then measures of early growth: low level of father's occupation, increase number of siblings, and maternal age should be associated with AD. We also plan to determine whether the potential association of these early-life factors and AD is modified by Apolipoprotein E Epsilon 4 genotype.

Methods - The Genetic Differences study, a community based case-control study from the University of Washington, will form the subject base and provide verified cases and controls: approximately 371 cases and 345 controls. Early-life information will be collected through government records: birth certificates and census data. Apolipoprotein E genotype has been determined for the subjects. The causes of AD are not understood. This study could open the door to a new area of research on Alzheimer's Disease and aid in the understanding of gene-environment interactions.

PROJECT NUMBER.....1 R03 AG15180-01

INVESTIGATOR NAME/ADDRESS

LAZARIDIS, EMMANUEL N

REGENSTRIEF INSTITUTE

1001 W 10TH ST, 6TH FLOOR

INDIANAPOLIS, IN 46202-2859

AWARD AMOUNT..... \$72,891

PERFORMING ORGANIZATION: INDIANA UNIVERSITY

TITLE: DIMENSIONS OF COGNITIVE IMPAIRMENT

ABSTRACT:

Individuals manifest different functional limitations at different times during their older years, and the specific limitations experienced by a given individual change as that person ages. Although functional limitations can occur in many domains, only cognitive functioning is considered here. Information about cognitive functioning will come from two different sources of longitudinal disability information: the Health and Retirement Study (HRS) and the study of Assets and Health Dynamics of the Oldest-Old (AHEAD). The HRS consists of a nationally representative sample of pre-retirement-age persons. The AHEAD consists of persons 70 years and older.

This study will pilot the use of Bayesian latent class (BLC) models to investigate cognitive functioning in older adults. Previous work using other data sources to address similar problems has employed a variety of techniques for longitudinal data analysis; however, problems with standard methodologies have prevented adequate characterization of the heterogeneity of disabilities manifested in older adults. BLC models are similar to latent variable or factor analytic (LV/FA) models and directly related to Grade-of-Membership (GoM) models. Like LV/FA models, BLC models seek to describe the data in terms of a small set of latent random variables. Like GoM models, BLC models allow individuals to be flexibly associated with multiple latent classes. In addition, BLC models address changes in actual disability profiles, not changes in summary scores, and are readily estimable and easily interpreted.

As part of this pilot study, we will fit BLC models to two waves of data from both the HRS and AHEAD studies, incorporating important covariate measures such as age, sex and other predictors of functional limitation. In addition, we will instigate various means to (a) introduce within-person longitudinal correlation, (b) adjust for missing data, and (c) account for death in follow-up waves. Ultimately, we are interested in describing the relationship between longitudinal patterns in cognitive functioning and other aging outcomes. The BLC models to be employed in this pilot study represent an important next step towards better characterization and understanding of age-related changes in cognitive functioning, which will increase our ability to predict important health and cost outcomes.

PROJECT NUMBER.....5 R29 AG12444-03

INVESTIGATOR NAME/ADDRESS

LEE, DAVID J

UNIV OF MIAMI SCH OF MED

AWARD AMOUNT..... \$104,424

PO BOX 016069 (R-669)

MIAMI, FL 33101

PERFORMING ORGANIZATION: UNIVERSITY OF MIAMI

TITLE: SENSORY IMPAIRMENT, FUNCTIONAL STATUS AND AGING

ABSTRACT:

An estimated twenty-eight million people in the United States are hearing impaired. More than three million Americans are estimated to have a best-corrected visual acuity of 20/40 or worse. The combination of increasing prevalence of visual and hearing impairment with age and the rapid increase in the proportion of Americans aged 65 and older will lead to a steady increase in the number of sensory impaired individuals in this country. Despite the growing importance of hearing impairment and visual impairment as a public health problem there has been relatively little research on the epidemiology of these conditions. This study will: 1) estimate the prevalence of hearing impairment and visual impairment as well as the prevalence of both sensory impairments among adult African-Americans, Cuban-Americans, Mexican Americans, Puerto Ricans and Whites; 2) examine the influence of these conditions on the health and mental well-being in these groups; and 3) examine the influence of these impairments on change in functional status and risk of mortality. Data for this project are derived from the Hispanic Health and Nutrition Examination Survey (HHANES), the National Health and Nutrition Examination Survey I (NHANES I), and the NHANES I Epidemiologic Follow-up Surveys (1982-1984, 1986, 1987 and 1992), each of which were conducted by the National Center for Health Statistics (NCHS). Data on sensory impairment includes: ear examination, pure audiometry, speech audiometry, ophthalmologic examination, visual acuity testing as well as self report measures of visual and hearing impairment. Measures of functional status include: activities of daily living, health care facility stays, well-being, depression and self-rated health. Analyses will be conducted separately for males and females within the five racial/ethnic groups. Because of the complex multi-stage sampling design used in the surveys, analyses will be performed in three stages: 1) Ignoring both the sampling weights and the design effect; 2) Incorporating only the sampling weights; and 3) Incorporating both the sampling weights and the design effect. This project will provide a comprehensive, integrated analysis of these NCHS studies leading to significant advances in our understanding of the epidemiology and influence of visual impairment, hearing impairment and multiple sensory impairment on functional health status in adults.

PROJECT NUMBER.....2 R44 AG12305-02A2

INVESTIGATOR NAME/ADDRESS

LOWRIMORE, GENE R

DECISION SYSTEMS, INC

AWARD AMOUNT..... \$366,588

1007 INDIAN TRAIL

RALEIGH, NC 27609

PERFORMING ORGANIZATION: DECISION SYSTEMS, INC.

TITLE: SUPPORT ENVIRONMENT FOR GRADE OF MEMBERSHIP MODEL

ABSTRACT:

Grade of Membership (GoM) is a multivariate analytic technique for analyzing high dimensional discrete response data with very general distributional assumptions. GoM has been developed as a research tool at Duke University over the last 10 years with efforts focused on developing and assessing the statistical foundations of GoM. Little effort has been directed to producing a fully documented version of GoM. Thus, various versions of GoM exist with different capabilities. The first project task will be to identify an appropriate research version of the GoM which will be enhanced and documented for distribution to NIA and NIH researchers. The GoM version will be capable of handling datasets with sizes on the order of 10,000 observations and 30 analytic variables and will minimally operate on workstations and 486-based PCs. Such a version of GoM would be capable of analyzing many of the national survey datasets including the National Long Term Care Surveys.

An intelligent support environment for the GoM model is also proposed to assist researchers in applying GoM. The support environment will include three modules: Question and Answers (Q&A), Data Preparation, and Report Analysis. Development of a prototype environment and a DOS version of GoM is proposed for Phase I.



PROJECT NUMBER.....2 R01 AG07198-11

INVESTIGATOR NAME/ADDRESS

MANTON, KENNETH G

DUKE UNIVERSITY

2117 CAMPUS DRIVE

DURHAM, NC 27708

AWARD AMOUNT..... \$1,343,244

PERFORMING ORGANIZATION: DUKE UNIVERSITY

TITLE: FUNCTIONAL AND HEALTH CHANGES OF THE ELDERLY

ABSTRACT:

DESCRIPTION: This application seeks five years of funding to collect, analyze, and disseminate data for a fifth wave of the National Long-Term Care Survey (NLTCs) intended for 1999. The wave is planned to include 5,971 detailed non-institutionalized interviews and 1,484 detailed institutionalized interviews, along with 11,038 additional screening interviews and 707 non-interviews, amounting to 19,245 subjects in total. All subjects from previous waves identified as still living and residing in the United States (estimated at 3,967) will be interviewed to maintain the longitudinal sample originating in 1982 and augmented in 1984, 1989, and 1995. New sample members will be drawn from people passing the age-65 boundary between 1994 and 1999, along with people newly screened for chronic disability or newly selected to maintain representativeness of a healthy subsample. A new subsample of 600 persons over age 95 will be drawn from Medicare records. The data collection, as in previous waves, will be accomplished through a subcontract with the U.S. Census Bureau.

The new NLTCs wave will maintain comparability of questions measuring chronic disability, Alzheimer's disease and related dementias and care and service utilization, so that trends in disability, active life expectancy, and mortality can be estimated by age and cohort over an 18-year-long time stretch from the start of 1982 to the end of 1999. Data from all waves will be linked to each other and to Medicare Part A and Part B service use records and mortality records from 1982 through 2000, so that longitudinal analysis of service use and cost can be conducted.

Three new areas will be probed in the 1999 wave. First is the relation between nutrition, disability, and cognitive function through a short food frequency assessment. Second is the prevalence of the APO-E genetic polymorphisms recently shown to be associated with risk of Alzheimer's Disease as well as circulatory diseases; this genetic information will be collected for an age-stratified sample of 1,500 people over age 80. Third is the prevalence of polymorphisms of the WRN gene recently implicated in Werner's Syndrome and possibly affecting rates of health changes at extreme ages.

The biological samples will be obtained using a non-invasive cheek swab, and the genetic typing will be accomplished through a subcontract with the University of Washington for with Dr. George Martin as Principal Investigator. Planned in-house analyses include the updating of studies of temporal trends in components of disability and dementia, of costs and service utilization, and of active life expectancy up to the year 2000. Educational effects and birth-cohort effects are to be emphasized. The stochastic risk-factor models and Grade of Membership models developed by this group at Duke will be extended and applied.

A public use file containing linked data from all waves of the NLTCs along with linked Medicare service use and mortality records will be prepared and electronically disseminated. According to a letter of clarification submitted subsequent to the application by the Principal Investigator and provided to reviewers, an outside users' conference and an early results conference are contemplated (presumably through a supplementary application) to facilitate widespread use of the NLTCs data.

PROJECT NUMBER.....5 R01 AG13196-02

INVESTIGATOR NAME/ADDRESS  
MARMOT, MICHAEL G  
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1-19 TORRINGTON PLACE  
LONDON, ENGLAND

AWARD AMOUNT..... \$281,244

PERFORMING ORGANIZATION: U OF L UNIVERSITY COLLEGE LONDON  
TITLE: CHANGES IN HEALTH--SOCIOECONOMIC STATUS AND PATHWAYS

ABSTRACT:

DESCRIPTION: Social class differences in mortality, morbidity and health functioning persist in the United States, the United Kingdom and other industrialized countries. Indeed, they may be widening for mortality. Such socioeconomic status (SES) gradients in health are present throughout the lifespan persisting into the eighth decade. Changes of health with age are heterogeneous with important environmental determinants, which include SES. This project will determine patterns and determinants of change of health in relation to age and SES. Further, it will examine whether the causes and consequences of within-person changes of health with age are different from those of a single measure. In the British civil service there is an unexplained threefold higher mortality from cardiovascular disease (CVD) in the lowest compared to the highest employment grade. The broad long term objective of the Whitehall II study is to explain the socioeconomic differences in health. With the help of NIH support, the Whitehall II study of 10,308 male and female civil servants, aged 35-55 years at entry (1985-88) was established to examine the role of specific psychosocial, lifestyle, biochemical and physiological factors as possible explanations of these inequalities. True age related changes in these exposures and/or cumulative exposure measured longitudinally are hypothesized to predict changes in SES differences in health with age.

Support is requested to address the following aims: 1) to describe and explain patterns of change with age in health status in relation to SES; 2) to examine potential biochemical mediators of the relation between SES, psychosocial factors and CVD; and 3) to examine the relationship between SES and change in cognitive function with age. The Whitehall II study is uniquely poised to address these questions, offering: civil service grade as an excellent measure of SES; longitudinal design with participants comparatively young at entry, allowing the detection of antecedents of change; a wide range of exposure data; repeated measures of exposures and outcomes; substantial power to detect age-related change and its interaction with SES; wide range of health outcomes including health and cognitive functioning, components of the metabolic syndrome, mortality, non-fatal diagnoses and sickness absence. This proposal requests support for data collection only, to repeat outcome measures of health functioning, cognitive functioning and components of the metabolic syndrome.

PROJECT NUMBER.....1 R03 AG14185-01

INVESTIGATOR NAME/ADDRESS

MIHELIC, ADRIENNE H  
JOHNS HOPKINS UNIVERSITY  
615 N WOLFE STREET  
BALTIMORE, MD 21205

AWARD AMOUNT..... \$75,285

PERFORMING ORGANIZATION: JOHNS HOPKINS UNIVERSITY

TITLE: COGNITIVE IMPAIRMENT AND EVERYDAY FUNCTIONING

ABSTRACT:

The objective of this study is to describe the relationship between change in cognitive functioning and change in ADL and IADL ability in a longitudinal framework. Identifying this relationship will provide information on the type and level of cognitive change necessary to impact physical functioning. Understanding the relationship between changes in cognition and changes in physical functioning will ultimately improve our estimates of active life expectancy, and provide sentinel markers for earlier diagnosis, intervention, and prevention of disability.

Data from seven waves of the Cardiovascular Health Study will be used to address the following questions:

1. What is the dimensionality and range of cognitive function in this cohort of community dwelling men and women 65 and older? Are these dimensions stable over time as persons age and become cognitively impaired?
2. Are various cognitive functions lost according to a hierarchy?
3. What is the relationship between change in cognitive function and change in physical function? How does the onset of disability differ for persons with cognitive impairment? Do persons with cognitive impairment lose physical functions in a different order (IADL, then ADL, then Mobility) than those with incident heart disease (Mobility, then IADL, then ADL)?

PROJECT NUMBER.....1 R01 AG14131-01A1

INVESTIGATOR NAME/ADDRESS

MILLER, MICHAEL E

WAKE FOREST UNIVERSITY

MEDICAL CENTER BLVD

WINSTON-SALEM, NC 27157-1063

AWARD AMOUNT..... \$141,178

PERFORMING ORGANIZATION: WAKE FOREST UNIVERSITY

TITLE: DISCRETE OUTCOME MODELS FOR EPIDEMIOLOGICAL SURVEYS

ABSTRACT:

DESCRIPTION: This application proposes to use data from the Longitudinal Study on Aging (LSOA) to assess the impact of physical activity and comorbid conditions on changes in functional status. Use of definitions of functional status encompassing both disability and dependency are proposed. Results from these analyses will allow a comparison of how physical activity and comorbid conditions may impact on disability and/or dependency, possibly leading to a better understanding of the role that physical activity may play in prolonging the time until functional decline and the need for long term care services. To achieve these aims, it will be necessary to develop statistical methods and computer programs permitting either marginal, transitional, subject-specific or latent variable modeling of discrete outcomes obtained from epidemiological surveys. Such methods must requisitely deal with issues such as: survey weights, stratified selection of clusters of participants, correlation of outcomes both within clusters and between repeated measurements on participants, and incomplete data resulting from institutionalization and death. The statistical methods resulting from this project will have broad applicability to other epidemiologic studies faced with any of the issues previously listed. An additional byproduct of this research project will be the availability of computer software useful for fitting the newly developed statistical methods.

PROJECT NUMBER.....5 R01 AG12544-03

INVESTIGATOR NAME/ADDRESS

RUDKIN, LAURA L

UNIV OF TEXAS MED. BRANCH

301 UNIVERSITY BLVD

GALVESTON, TX 77555-1153

AWARD AMOUNT..... \$68,892

PERFORMING ORGANIZATION: UNIVERSITY OF TEXAS MEDICAL BR GALVESTON

TITLE: SOCIAL CHANGE AND INTERGENERATIONAL EXCHANGE

ABSTRACT:

DESCRIPTION: Declining levels of fertility and mortality are leading to rapid population aging in many developing countries. These demographic changes can mean an increase in care giver burden for adult children, or a decline in the level of support provided to parents, in societies where kin are the main support networks for elderly persons. Aging parents are living longer but adult children have fewer siblings with whom to share filial duties. This project will examine the relationship of demographic, social and economic change to changing patterns of intergenerational exchange in the context of a modernizing society. This project will identify changes in patterns and determinants of transfers between adult children and aging parents. Other factors to consider are changes in the relative resources of the two generations, kinship availability, and motives for exchange. The subsamples available in the data permit two types of comparisons: (a) change across birth cohorts measured at the same ages, and (b) changes across life stages for one birth cohort of men and women. Transfers may take three forms -- coresidence, money, and material goods. Across the two waves of the survey, the study will assess changes in the type, level, and direction of transfers and will attribute the observed differences to changes in levels of the determinants (compositional change) and changes in the effects of the determinants (behavioral change). Variations of economic utility theory (altruism, exchange, and warm glow) and social exchange theory (generalized, restricted exchange) guide the interpretation of motives for making transfers. Tobit, probit, ordered probit and multinomial logit regression methods will be used to analyze changes in transfer behaviors. Sample selection related to coresident status will be considered.

PROJECT NUMBER.....5 R01 AG09862-07

INVESTIGATOR NAME/ADDRESS  
SNOWDON, DAVID A  
SANDERS BROWN CTR ON AGING  
800 SOUTH LIMESTONE STREET  
LEXINGTON, KY 40536-0230

AWARD AMOUNT..... \$901,010

PERFORMING ORGANIZATION: UNIVERSITY OF KENTUCKY  
TITLE: INDEPENDENT AND DEPENDENT LIFE IN THE ELDERLY

ABSTRACT:

DESCRIPTION (Adapted from Investigator's Abstract): This is an application for continuation of an existing study of the early, mid, and late-life factors contributing to the onset and course of Alzheimer's disease (AD). This research uses archival longitudinal data from a volunteer sample of N=678 Catholic Nuns, aged 75 to 103 (in 1991). The investigators seek to continue the evaluation of this cohort for risk factors for Alzheimer's disease (AD) until the year 2001. The proposal seeks to substantiate preliminary findings that AD is not an inevitable consequence of biologic aging and that AD is related to early life factors, and analyzes the effects of genetic markers and other, later risk factors for AD.

PROJECT NUMBER.....5 K01 AG00702-02

INVESTIGATOR NAME/ADDRESS  
ZOHORI, NAMVAR  
UNIVERSITY OF NORTH

CAROLINA

AWARD AMOUNT..... \$100,335

CB# 8120, 123 W FRANKLIN ST  
CHAPEL HILL, NC 27516-3997

PERFORMING ORGANIZATION: UNIVERSITY OF NORTH CAROLINA CHAPEL HILL  
TITLE: DEMOGRAPHY OF HEALTHY AGING--ROLE OF NUTRITIONAL FACTORS

ABSTRACT:

The main objectives in this application for a Mentored Research Scientist Development AWARD (MRSDA) are to provide the means for the candidate's long-term career development and training in aging, age-related functional disabilities, and their relationship to nutritional factors, and to allow for the more immediate goal of analysis of data from the China Health and Nutrition Survey (CHNS) and the Russia Longitudinal Monitoring Survey (RLMS), with regards to the relationship between functional status of the elderly and nutritional factors. Despite recent interest in the concept of successful aging, the role of nutritional factor has not yet been adequately studied. Although, a few studies have indicated that Body Mass Index, both high and low, are associated with greater functional disability, to date no large scale studies have been undertaken that incorporate nutritional status and dietary actors in a comprehensive model that also accounts for the host of other covariates affecting this relationship. Also, many methodological issues, such as the existence of unobservable heterogeneity and of endogenous explanatory variables, have not been addressed.

During the initial phase of this proposal, the candidate, a physician and nutritional epidemiologist will 1) develop a thorough understanding of the literature on the demography of aging in general, 2) study age-related changes patterns of disability and functional status, 3) gain theoretical and practical experience in issues associated with measurement of functional status in the elderly, and 4) acquire further necessary analytic skills to allow analysis of complex causal associations in longitudinal data. These objectives will be accomplished in close collaboration with Dr. Kenneth Manton of the Duke Center for Demographic Studies, as primary mentor, Dr. Bob Wallace of University of Iowa, as consultant, and Dr. Barry Popkin of UNC Department of Nutrition and the Carolina Population Center, as faculty advisor.

During the second phase of the MRSDA, analysis will be undertaken of data from the CHNS and the RLMS, with the aims of: -1) understanding the demographic characteristics of the elderly populations in these data sets, 2) analyzing the pattern of functional disability within these populations, 3) understanding the nutritional status as well as the dietary patterns of the elderly, and 4) analyzing the nutritional determinants of functional status of the elderly within the context of a complex set of confounders and covariates.

***Centers, Program Projects, Subprojects***

PROJECT NUMBER.....2 P01 AG10120-06

INVESTIGATOR NAME/ADDRESS

FOGEL, ROBERT

UNIVERSITY OF CHICAGO

1101 EAST 58TH ST

CHICAGO, IL 60637-1511

AWARD AMOUNT..... \$166,693

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: EARLY INDICATORS OF LATER WORK LEVELS, DISEASE AND DEATH

SUB TITLE: EARLY PREDICTORS OF MORBIDITY AND MORTALITY AT LATER AGES

**ABSTRACT:**

Recent investigations have found evidence of statistically significant relationships between socioeconomic and biomedical conditions (including nutritional status) of individuals at early ages and mortality rates from arteriosclerotic and other diseases at middle and late ages. The aim of Project 2 is to identify and articulate such life-cycle interactions among the Union Army veterans. A wide array of analytical techniques including hazards models (not limited to proportional hazards models), Waaler surfaces, and models which incorporate unobserved heterogeneity will be employed to relate socioeconomic, biological, and psychological forms of stress at early ages to the waiting -time for, and the probability of eventually developing, specific chronic diseases as well as the time to death following these diseases.



PROJECT NUMBER.....2 P01 AG10120-06

INVESTIGATOR NAME/ADDRESS

FOGEL, ROBERT

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AWARD AMOUNT..... \$166,693

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: EARLY INDICATORS OF LATER WORK LEVELS, DISEASE AND DEATH

SUB TITLE: CORE-- PUBLIC USE TAPE ON AGING, 1830-1940

ABSTRACT:

The central objective of the project is the production of a public use tape suitable for a study of aging among a random sample of 39,618 men mustered into the Union Army. The information in the tape will include socioeconomic characteristics of the households in which the recruits were raised; measures of the prevalence of specific diseases, of water supplies, and other public health conditions in the localities in which they lived during developmental ages; their combat and medical histories during the war; and their medical, occupational, income, residential, and demographic histories between 1965 and their deaths. Four projects will use the information in the tape to investigate such issues as: (1) The effect of nutritional status, socioeconomic factors, and exposure to diseases (including wartime stress) during developmental and middle ages on the morbidity and mortality rates of white males at middle and late ages. (2) The effect of host and environmental conditions on the probability that recruits would contract specific diseases during service and on the probability of dying from these diseases before being mustered out. (3) The effect of youthful exposure to virulent environments on the likelihood of developing specific chronic diseases and on the capacity to work at midadult and late ages, with controls for socioeconomic and other environmental conditions, age at exposure, and the duration of exposure. (4) The effect of specific chronic diseases on labor force participation and relative earnings at late ages during a period when the culture encouraged individuals late ages to be as self-supporting as possible. (5) The nature, cost, and effectiveness of arrangements for the care of the aged by the nature of their disabilities and by the occupations, family circumstances, and residence of those with whom they were lodged. (6) The contribution of economic, social, technological, political, and cultural factors to the sharp increase after 1890 in the income elasticity of the demand for leisure at older ages, and the explanation for the secular pattern of that increase. Other features of the project including the wide range of diseases to which the men in the sample were exposed, the capacity to follow highly mobile individuals over their life-cycles, the wide variations in the socioeconomic characteristics and environmental circumstances of the individuals, and the relatively low cost of the information per observation. Because of the nature of the 19th century diseases, the project also bears on the epidemiology of LDCS.

PROJECT NUMBER.....2 P01 AG10120-06

INVESTIGATOR NAME/ADDRESS

FOGEL, ROBERT W

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1101 EAST 58TH ST

CHICAGO, IL 60637-1511

AWARD AMOUNT..... \$833,469

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: EARLY INDICATORS OF LATER WORK LEVELS, DISEASE AND DEATH

ABSTRACT:

The central objective of the project is the production of a public use tape suitable for a study of aging among a random sample of 39,618 men mustered into the Union Army. The information in the tape will include socioeconomic characteristics of the households in which the recruits were raised; measures of the prevalence of specific diseases, of water supplies, and other public health conditions in the localities in which they lived during developmental ages; their combat and medical histories during the war; and their medical, occupational, income, residential, and demographic histories between 1965 and their deaths. Four projects will use the information in the tape to investigate such issues as: (1) The effect of nutritional status, socioeconomic factors, and exposure to diseases (including wartime stress) during developmental and middle ages on the morbidity and mortality rates of white males at middle and late ages. (2) The effect of host and environmental conditions on the probability that recruits would contract specific diseases during service and on the probability of dying from these diseases before being mustered out. (3) The effect of youthful exposure to virulent environments on the likelihood of developing specific chronic diseases and on the capacity to work at midadult and late ages, with controls for socioeconomic and other environmental conditions, age at exposure, and the duration of exposure. (4) The effect of specific chronic diseases on labor force participation and relative earnings at late ages during a period when the culture encouraged individuals late ages to be as self-supporting as possible. (5) The nature, cost, and effectiveness of arrangements for the care of the aged by the nature of their disabilities and by the occupations, family circumstances, and residence of those with whom they were lodged. (6) The contribution of economic, social, technological, political, and cultural factors to the sharp increase after 1890 in the income elasticity of the demand for leisure at older ages, and the explanation for the secular pattern of that increase. Other features of the project including the wide range of diseases to which the men in the sample were exposed, the capacity to follow highly mobile individuals over their life-cycles, the wide variations in the socioeconomic characteristics and environmental circumstances of the individuals, and the relatively low cost of the information per observation. Because of the nature of the 19th century diseases, the project also bears on the epidemiology of LDCS.

PROJECT NUMBER.....2 P01 AG10120-06

INVESTIGATOR NAME/ADDRESS

FOGEL, ROBERT W

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AWARD AMOUNT..... \$166,693

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: EARLY INDICATORS OF LATER WORK LEVELS, DISEASE AND DEATH

SUB TITLE: BARKER PILOT

ABSTRACT:

0 SUBPROJECT ABSTRACT NOT AVAILABLE. PARENTABSTRACT:

This project proposes to replicate on US data the epidemiological experiments reported by D.J.P. Barker and his colleagues in a recent series of articles. Specifically, this project will examine whether the fetal, neonatal, and early childhood measures (primarily anthropometric measurement, such as birth weight, weight of the placenta, head circumference, and crown-to-heel length), singled out by Barker, have the predictive power with respect to the set of diseases at late ages he has specified, including coronary heart disease, hypertension, stroke, obstructive lung disease, and diabetes. A sample of 1,000 babies, male and female of different ethnicities and races and with a wide range of family incomes, who were born between 1910 and 1935 in New York City, Boston, Baltimore, and San Francisco, will be drawn from hospitals that kept birth records of the baby, prenatal records on the mother, and post-natal records (usually one week) on the child that appear to equal or exceed in richness those used by Barker. Pediatric records of the child and hospital records of the mother will also be sought. Approximately half the number of individuals in the sample will have died by 1995. Their birth records will be linked to their death certificates and other available vital records. The survivors, aged 60 to 85 in 1995, and numbering over approximately 500, will be traced and interviewed to determine the presence of chronic conditions, socioeconomic status, and family health history. With the permission of the survivors, they will be linked to Social Security, Census, and Internal Revenue Service records. In addition to using anthropometric measures at birth as Barker and colleagues did to predict chronic conditions at later ages, the proposed project will interact the effect of anthropometric measures at birth with health histories of the mother, and with anthropometric measures and socioeconomic, health, and ecological information of the sampled person at middle and late ages to determine the separate and combined effects of these variables on the waiting time to the onset of specific chronic conditions.

PROJECT NUMBER.....2 P01 AG10120-06

INVESTIGATOR NAME/ADDRESS

POPE, CLAYNE L

UNIVERSITY OF CHICAGO

AWARD AMOUNT..... \$166,693

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CHICAGO, IL 60637-1511

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH

TITLE: EARLY INDICATORS OF LATER WORK LEVELS, DISEASE AND DEATH

SUB TITLE: INTERGENERATIONAL ASPECTS OF AGING

ABSTRACT:

Printed family histories and genealogical records provide the possibility of studying aging and mortality through the inclusion of intergenerational and family histories of individuals who were born between 1815 and 1847, some of whom served in the Union Army during the Civil War. This sample (known as the intergenerationally linked aging sample or ILAS) will be used in conjunction with the larger recruit sample known as the Public-Use Tape on Aging, 1830-1940. Information from census records, pension files and military records will be attached to the demographic data already collected from family histories.

Once the sample is formed, analysis will be conducted to compare the aging and mortality experience of those who served in the military with those who did not. The interaction of military service and its various dimensions such as battle stress and disease exposure will be explored. In addition, intergenerational influences will be measured directly through the common family background of brothers in ILAS. This project will provide a reference point to judge many of the results obtained from the analysis of the core public-use tape.

PROJECT NUMBER.....2 P01 AG10120-06

INVESTIGATOR NAME/ADDRESS  
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1101 EAST 58TH ST  
CHICAGO, IL 60637-1511

AWARD AMOUNT..... \$166,693

PERFORMING ORGANIZATION: NATIONAL BUREAU OF ECONOMIC RESEARCH  
TITLE: EARLY INDICATORS OF LATER WORK LEVELS, DISEASE AND DEATH  
SUB TITLE: EXPOSURE TO DISEASE DURING GROWING AGES AND WAR SERVICE

ABSTRACT:

The principal aim of this project is to examine the influence of environmental and host factors prior to recruitment on the health performance and survival of recruits during military service. A second aim is the analysis of a random sample of volunteers and draftees who were rejected on the basis of an army medical examination. Early-age socioeconomic, ecological, anthropometric and biomedical variables will be used to determine predictors of the odds of rejection as well as to define the relationship between recruits and the entire male population of military age. Another aspect of this project is the development of measures of military stress as a possible predictor of morbidity and mortality at later ages. Such measures can be developed both from psychological information in medical reports and discharge papers and from information regarding exposure to battle conditions, confinement to prison, and other stress-inducing circumstances. A fourth task is the analysis of the factors affecting the immediate outcome (as opposed to late-age effects) of particular infections developed after induction into the Union Army, such as the case fatality rate of persons contracting measles while in the army. Other links between characteristics of the recruits and their service health histories that will be investigated include waiting-time to contract specific diseases; the number of repeated episodes of specific diseases; the probability of being discharged as a consequence of specific diseases; and the probability of entirely avoiding various diseases. Examination of health experiences during enlistment should serve to define certain conditions or combinations of conditions at earlier ages that made individuals prone to particular diseases during military service. Such information will also contribute to the identification of predictors of morbidity and mortality at middle and late ages.